Indiana Eligibility Modernization Project
for the
Indiana Family & Social Services Administration

Hoosier Coalition for Self Sufficiency
HCSS

Document Center
Steady State Procedures Manual
Volume 3
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Table of Contents

Volume 3 Document Center Processes and Procedures 1

1.0 Introduction 1

1.1 Definitions 1

- 1.1.1 Application(s) 1
- 1.1.2 Application for Assistance (A4A) 1
- 1.1.3 Check Log 1
- 1.1.4 Classification Edit 1
- 1.1.5 Data Capture 1
- 1.1.6 Dots per inch (d.p.i.) 1
- 1.1.7 Document 1
- 1.1.8 EMC Captiva- Input Accel – Dispatcher Validation 1
- 1.1.9 Extraneous Documents 2
- 1.1.10 Indexing 2
- 1.1.11 Intelligent Character Recognition (ICR) 2
- 1.1.12 Key from Image (KFI) 2
- 1.1.13 Key Performance Indicators (KPIs) 2
- 1.1.14 Omation 2
- 1.1.15 Opex 2
- 1.1.16 Optical Character Recognition (OCR) 2
- 1.1.17 Optical Mark Sense Recognition (OMR) 2
- 1.1.18 Original Document 2
- 1.1.19 Production Control Log (PCL) 2
- 1.1.20 Receipt Date 2
- 1.1.21 Red Folder 2
- 1.1.22 Reject/Repair 3
- 1.1.23 Scan Date 3
- 1.1.24 Scanner Service/Problem Log 3
- 1.1.25 Secure Document Retention Room 3
- 1.1.26 Service Level Metrics (SLM's) 3
- 1.1.27 Task 3

1.2 Forms, Reports and Meetings 3

- 1.2.1 Daily Schedule 3
- 1.2.2 Weekly Schedule 3

2.0 Inbound / Outbound Document Handling 4

2.1 Overview and Objectives 4

2.2 Roles and Responsibilities 4

2.3 Scope 4

2.4 Measurements 4

- Operational Goals 4

2.5 Operational Flow and Controls 5

- 2.5.1 Document Center Inbound Mail Handling Process Flow 5
- 2.5.2 Document Center Inbound Mail Handling Process Description 5
- 2.5.3 Document Center Outbound Mail Handling Process Flow 6
- 2.5.4 Document Center Outbound Mail Handling Process Description 6

2.6 Escalation Process 7
2.6.1 Process Flow 7
2.6.2 Process Description 7

3.0 Document Image Capture (Scanning) 8

3.1 Overview and Objectives 8

3.2 Roles and Responsibilities 8

3.3 Scope 8

3.4 Measurements 8
Operational Goals 8

3.5 Operational Flow and Controls 8
3.5.1 Document Center Scanning Process Flow 8
3.5.2 Document Center Scanning Process Description 9

3.6 Escalation Process 11
3.6.1 Process Flow 11
3.6.2 Process Description 11

4.0 Document Center Rescanning 12

4.1 Overview and Objectives 12

4.2 Roles and Responsibilities 12

4.3 Scope 12

4.4 Measurements 12
Operational Goals 12

4.5 Operational Flow and Controls 13
4.5.1 Document Center Rescanning Process Flow 13
4.5.2 Document Center Rescanning Process Description 13

4.6 Escalation Process 14
4.6.1 Process Flow 14
4.6.2 Process Description 14

5.0 Document Center Return to Sender Process 15

5.1 Overview and Objectives 15

5.2 Roles and Responsibilities 15

5.3 Scope 15

5.4 Measurements 15
Operational Goals 15

5.5 Operational Flow and Controls 16
5.5.1 Document Center return to sender Process Flow 16
5.5.2 Document Center return to sender Process Description 16

5.6 Escalation Process 16
5.6.1 Process Flow 16
5.6.2 Process Description 17

6.0 Scanning Equipment and Software Maintenance 18
6.1 Overview and Objectives 18
6.2 Roles and Responsibilities 18
6.3 Scope 18
6.4 Measurements 18
6.4.1 Operational Goals 18
6.5 Operational Flow and Controls 18
6.5.1 Daily Maintenance 18
6.5.2 Monthly Preventative Maintenance 18
6.5.3 Ad hoc Maintenance 19
6.6 Escalation Process 19
6.6.1 Process Flow 19
6.6.2 Process Description 19
7.0 Document Classification by Type 20
7.1 Overview and Objectives 20
7.2 Roles and Responsibilities 20
7.3 Scope 20
7.4 Measurements (Inputs and Outputs) 20
7.4.1 Operational Goals 20
7.5 Operational Flow and Control 21
7.5.1 Document Center Document Classification Flow 21
7.5.2 Document Center Document Classification Process Description 21
7.5.3 Escalation Process Flow 22
7.5.4 Process Description 22
8.0 Data Capture 23
8.1 Overview and Objectives 23
8.2 Roles and Responsibilities 23
8.3 Scope 23
8.4 Measurements (Inputs and Outputs) 23
8.4.1 Operational Goals 23
8.5 Operational Flow and Control 24
8.5.1 Document Center Data Capture Process Flow 24
8.5.2 Document Center Data Capture Process Description 24
8.6 Escalation Process 25
8.6.1 Process Flow 25
8.6.2 Process Description 25
9.0 Indexing 26
9.1 Overview and Objectives 26
9.2 Roles and Responsibilities 26

9.3 Scope..26
9.4 Measurements (Inputs and Outputs)..26
9.4.1 Operational Goals.. 26
9.5 Operational Flow and Control..26
9.5.1 Document Center Indexing Process Flow.. 26
9.5.2 Document Center indexing Process Description.. 27
9.6 Escalation Process..29
9.6.1 Process Flow.. 29
9.6.2 Process Description.. 29
10.0 Document Retention.. 30
10.1 Overview and Objectives...30
10.2 Roles and Responsibilities...30
10.3 Scope...30
10.4 Measurements..30
10.4.1 Operational Goals.. 30
10.5 Operational Flow and Control..31
10.5.1 Document Center Document Retention Process Flow.................................. 31
10.5.2 Document Center Document Retention Process Description......................... 31
10.6 Escalation Process..32
10.6.1 Process Flow.. 32
10.6.2 Process Description... 32
11.0 Retention of Documentation during Pilot Phase.. 33
11.1 Overview and Objectives...33
11.2 Roles and Responsibilities...33
11.3 Scope...33
11.4 Measurements (Inputs and Outputs)..33
11.4.1 Operational Goals.. 33
11.5 Operational Flow and Control..34
11.6 Escalation Process..34
11.6.1 Process Flow.. 34
11.6.2 Process Description... 34
12.0 Operational Quality Assurance... 35
12.1 Overview and Objectives...35
12.2 Roles and Responsibilities...35
12.3 Scope...35
12.4 Measurements..35
12.5 Quality Assurance Process Flow..36
12.5.1 Document Center Quality Assurance Process Flow...................................... 36
12.5.2 Document Center Quality Assurance Process Description............................ 36

12.6 Corrective Action **37**
12.7 Escalation Process **38**
  12.7.1 Process Flow *38*
  12.7.2 Process Description *38*
12.8 Preventative Action **38**
12.9 Continuous Improvement **39**
13.0 General Security Procedures **40**
13.1 Overview and Objectives **40**
  13.1.1 Health Insurance Portability and Accountability Act (HIPAA) Regulations *40*
  13.1.2 Confidentiality and Conduct Expectation Agreement *40*
  13.1.3 Background Check and Drug-Screening Test *40*
  13.1.4 Security and Access Restriction *40*
  13.1.5 Entry Procedure for Visitors *40*
  13.1.6 Terminals with sensitive and/or private information *40*
  13.1.7 Printers and Fax Machines *40*
  13.1.8 Unprocessed Documents *40*
13.2 Roles and Responsibilities **41**
13.3 Scope **41**
13.4 Measurements **41**
13.5 Escalation Process **41**
  13.5.1 Process Flow *41*
  13.5.2 Process Description *41*
Attachment 1 .... **42**
  Document Center Organization Chart *42*
Attachment 2 .... **43**
  Production Control Log (PCL) *43*
Attachment 3 .... **44**
  Original Document List *44*
Attachment 4 .... **45**
  Opex Scanner Service/Problem Log *45*
Attachment 5 .... **46**
  List of Supporting Documents *46*
Attachment 6 .... **47**
  Quality Issue and Resolution Document *47*
Attachment 7 .... **48**
  Document Center Check Log *48*

About this document

The Steady State Procedure Manual Volume 3 describes the procedures used by the Coalition for handling mail, scanning documents, retaining documents and performing quality assurance activities at the Document Center.

Who should use this document?

This document should be used by:

- State personnel
- Coalition personnel

Related documents

This document should be used in conjunction with:

Document	Location
None	

Summary of changes

This section records the history of significant changes to this document. Only the most significant changes are described here.

Version	Date	Author	Description of change
1.0	09/05/2007	Marlene Manning	Initial version
1.1	10/02/2007	Marlene Manning	Updated with State comments on version 1.0
1.2	11/19/2007	Marlene Manning	HIP updates
1.3	12/21/2007	Marlene Manning	Updates based on State feedback on versions 1.1 and 1.2
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Where significant changes are made to this document, the version number will be incremented by 1.0.

Reviewers and approvers

Revisions of this document are reviewed and approved by the job roles identified below.

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Document control information

Any copies that are found to be incomplete or obsolete should be destroyed or returned to the owner.

Volume 3 Document Center Processes and Procedures

1.0 Introduction

Volume 3 describes the processes and procedures followed by the Document Center. The Document Center utilizes state-of-the-art technology and a trained workforce to complete processing of all documentation received. The Document Center is responsible for handling inbound mail, scanning all Documents, capturing the data from the application forms, classifying the Documents by type, and handling any outbound and returned mail.

1.1 Definitions

1.1.1 Application(s)

The paper copies of the Hoosier Healthwise, Application for Assistance, and / or Healthy Indiana Plan application forms.

1.1.2 Application for Assistance (A4A)

The application for social services benefits.

1.1.3 Check Log

A spreadsheet used for recording the details of checks received by the Document Center. See Attachment 7.

1.1.4 Classification Edit

The manual process of assigning a document type to an image which is not identified by the system on heuristic analysis or by reading the barcode.

1.1.5 Data Capture

Document Center workflow for processing electronic images of A4A, Healthy Indiana Plan and Hoosier Healthwise Applications once scanned or faxed.

1.1.6 Dots per inch (d.p.i.)

Dots per inch define the density or quality of the scanned images. A standard of 300 d.p.i. is used for all scanned images processed in the Document Center.

1.1.7 Document

An actual product of writing, image, or recording that may be used as evidence or as the basis, proof, or support of something. Examples of Documents include: Applications, birth certificate, various forms, and other supporting evidence.

1.1.8 EMC Captiva- Input Accel – Dispatcher Validation

Data Capture, reject repair and document classification edit software.

1.1.9 Extraneous Documents

Documents other than Applications, including the supporting Documents received by the Document Center.

1.1.10 Indexing

An interface to view the images of transactions where the system has recorded errors.

1.1.11 Intelligent Character Recognition (ICR)

A data extraction tool for constrained hand printed data.

1.1.12 Key from Image (KFI)

The process of manually entering the characters/values without OCR/ICR/OMR results from scanned and faxed images.

1.1.13 Key Performance Indicators (KPIs)

Tactical indicators of the level of support to the client for the various service components in the modernized solution environment. See Volume 6 – Performance Management for a full description.

1.1.14 Omation

A mail opening and/or mail counting machine.

1.1.15 Opex

An image capture system (Hardware and Software).

- Opex 3690i: Image capture system with envelope opening capability
- Opex 3690t: Image capture system without envelope opening capability

1.1.16 Optical Character Recognition (OCR)

A data extraction tool for machine printed data.

1.1.17 Optical Mark Sense Recognition (OMR)

A tool used to extract mark sense data.

1.1.18 Original Document

An original copy of a Document received in the Document Center that is listed in Attachment 3.

1.1.19 Production Control Log (PCL)

A spreadsheet for monitoring mail inbound and outbound from the Document Center.

1.1.20 Receipt Date

The date a Document is received at the Document Center.

1.1.21 Red Folder

A distinct folder designated for inserting Original Documents to be mailed back to the applicant after scanning and for retention during the specified retention period.

1.1.22 Reject/Repair

Repairing or re-keying characters which are indecipherable after OCR/ICR data extraction process.

1.1.23 Scan Date

The date a Document is scanned at the Document Center.

1.1.24 Scanner Service/Problem Log

A spreadsheet used for monitoring scanner maintenance activities or problems. See Attachment 4.

1.1.25 Secure Document Retention Room

A room within the Document Center facility that is locked and only accessed by authorized personnel. This room is used to store all the confidential Documents including Originals, supporting Documents and any unprocessed Documents at the end of the day.

1.1.26 Service Level Metrics (SLM's)

SLM's are metrics associated with eligibility processing accuracy. See Volume 6 – Performance Management for a full description.

1.1.27 Task

A piece of work in the workflow that is assigned to or done as part of one's responsibilities.

1.2 Forms, Reports and Meetings

1.2.1 Daily Schedule

The PCL is utilized as a control for daily monitoring of scanned batches in production.

1.2.2 Weekly Schedule

Production meetings with the Document Center Manager, Supervisors, and key personnel are held weekly and on an ad hoc basis as needed.

2.0 Inbound / Outbound Document Handling

2.1 Overview and Objectives

The Document Center expects to receive the majority of Documents through the US Postal Service. The Document Center authorizes select personnel to provide a pickup service each business day. Faxed Documents are sent to the fax server and the Document Center processes only the electronic images of these faxed Documents. The same process is used for network scanned Documents. Documents carried into the Document Center as walk-in's follow the same process flow as mailed Documents.

This section defines and documents the detailed procedures that are used to accomplish timely and secure handling of Documents arriving by mail and departing the Document Center as follows:

- Mail pickup and delivery terms, schedules, and specific handling agreements
- Accept, count, and move inbound Documents in batches to the Opex scanner stations
- Open bulky or large envelopes prior to delivery at the scanner stations
- Handle Outbound Mail (Return Originals)
- Implement controls to provide tracking and security for Documents

2.2 Roles and Responsibilities

Please refer to Attachment 1, Document Center Organization Chart.

Mail Handling Roles and Responsibilities	
Role	**Responsibility**
Mail Room Clerk	• Responsible for timely and orderly handling of all mail delivered to the Document Center
Scanning Supervisor	• Responsible for managing the Mail Room personnel • Resolves problems • Monitors compliance with standard operating procedures and confirms that the Key Performance Indicators are met
Quality Analyst	• Reviews a sample of the electronic images for quality

2.3 Scope

The scope of this section includes procedures for managing and auditing the flow of mail at the Document Center and describes the use of the PCL to monitor and control these procedures.

2.4 Measurements

Operational Goals

- Mail received by the Document Center is counted, opened and sent to the scanning department on the same day it is received.
- Original Documents are retained for 48 hours in a Secure Document Retention Room and mailed to the applicant within 72 hours after the required retention period.

2.5 Operational Flow and Controls

2.5.1 Document Center Inbound Mail Handling Process Flow

Figure 3.2.1 illustrates the Document Center Inbound Mail Handling Process and is described below.

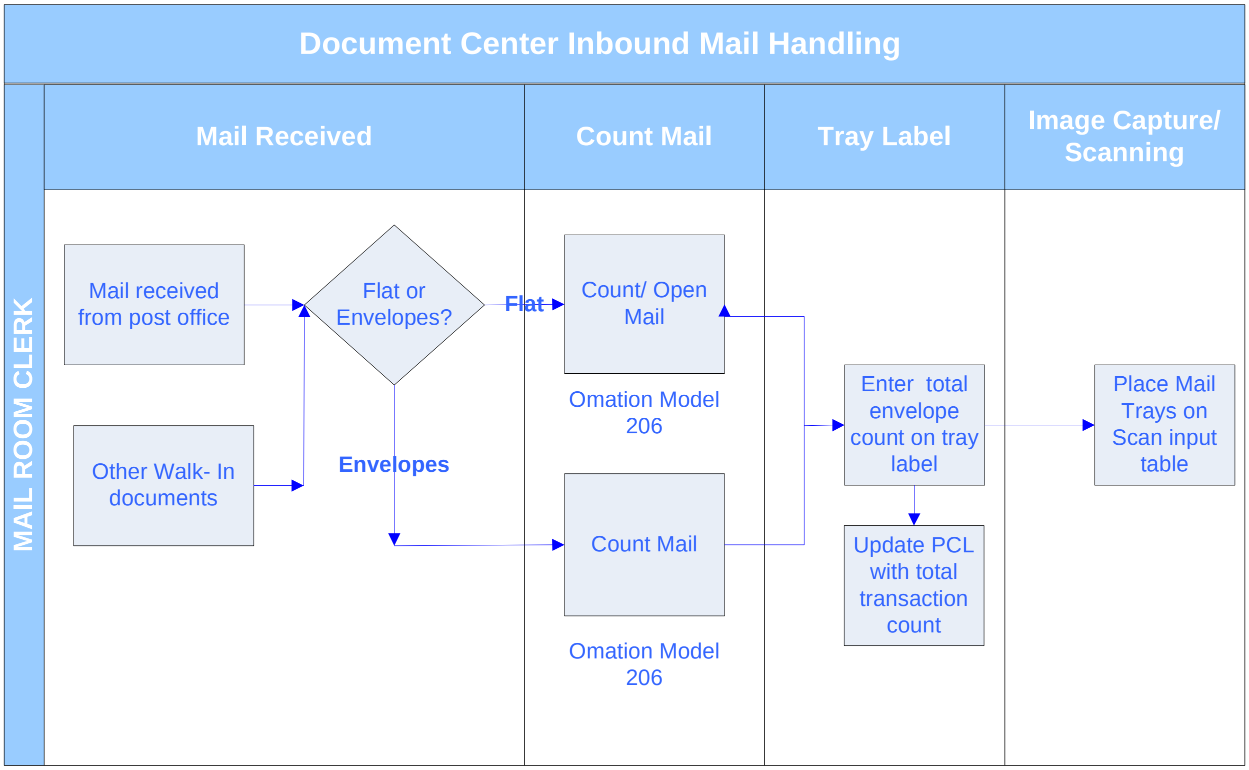

Document Center Inbound Mail Handling
MAIL ROOM CLERK
Mail Received
Count Mail
Tray Label
Image Capture/ Scanning
Mail received from post office
Other Walk- In documents
Flat or Envelopes?
Flat
Envelopes
Count/ Open Mail
Omation Model 206
Count Mail
Omation Model 206
Enter total envelope count on tray label
Update PCL with total transaction count
Place Mail Trays on Scan input table

Figure 3.2.1 Document Center Inbound Mail Handling

2.5.2 Document Center Inbound Mail Handling Process Description

2.5.2.1 Mail Received

The Document Center authorizes selected personnel to provide a pickup service each business day.

2.5.2.2 Count Mail

All incoming mail and other walk-in Documents are counted on the Omation mail opening machines and the larger flat envelopes are also opened on these same machines.

2.5.2.3 Tray Label

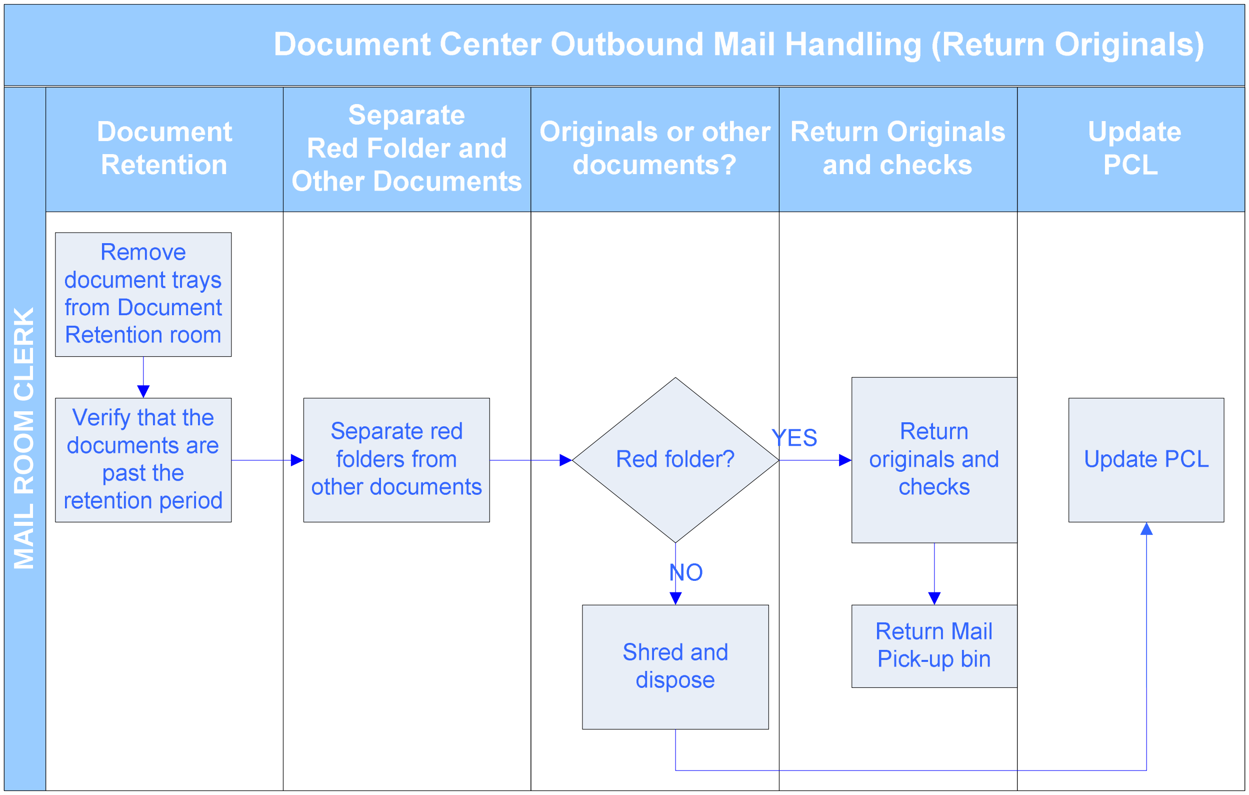
The Mail Room Clerk logs the number of trays received and then assigns a tray label consisting of receipt date, sequential tray number and total envelope count.

2.5.2.4 Image Capture/ Scanning

The sequentially numbered trays are placed on the scan input table by the Mail Room Clerk The Scanner Operator picks up the trays in sequential order and takes them to the Opex scanner stations for scanning.

2.5.3 Document Center Outbound Mail Handling Process Flow

Figure 3.2.2 illustrates the Outbound Mail Handling Process of the Document Center and is described below.



Document Center Outbound Mail Handling (Return Originals)
MAIL ROOM CLERK
Document Retention
Separate Red Folder and Other Documents
Originals or other documents?
Return Originals and checks
Update PCL
Remove document trays from Document Retention room
Verify that the documents are past the retention period
Separate red folders from other documents
Red folder?
YES
NO
Return originals and checks
Return Mail Pick-up bin
Shred and dispose
Update PCL

Figure 3.2.2 Document Center Outbound Mail Handling

2.5.4 Document Center Outbound Mail Handling Process Description

2.5.4.1 Document Retention

- Document trays that have passed the retention period are removed from the Secure Document Retention Room.
- Mail Room Clerk verifies that the trays containing Documents have passed the retention period.
- Section 10 describes the Document retention process.

2.5.4.2 Separate Red Folder and Other Documents

The Mail Room Clerk picks up the trays and separates the Red Folders containing the Originals from the other scanned Documents.

2.5.4.3 Red Folders or other scanned Documents

- The Red Folders containing Originals are returned to the sender using the process described below in section 2.5.4.5.
- Other scanned Documents are shredded and disposed.
- Any checks received by the Document Center are logged on a check log and or forwarded to the State-designated forwarding addresses. See Attachment 7 for Document Center Check Log.

2.5.4.4 Return Originals to Sender

- The system presents a screen where the Mail Room Clerk types a date. The date is used to search all the Original Documents that were scanned on that day.
- The Mail Room Clerk prints and inserts the “Return Originals Cover Page” and image of the Documents referenced.
- The Mail Room Clerk then uses this reference image to select the Original Documents, inserts the “Return Originals Cover Page” into an envelope along with the Original Documents and places in the Return Mail pickup bin to be forwarded to the Post Office.
- The Mail Room Clerk then destroys the printout of the image.

2.5.4.5 Update PCL

- Mail Room Clerk updates the PCL with the details.

2.6 Escalation Process

2.6.1 **Process Flow**

Figure 3.2.3 below identifies the escalation process flow for Mail Room issues.

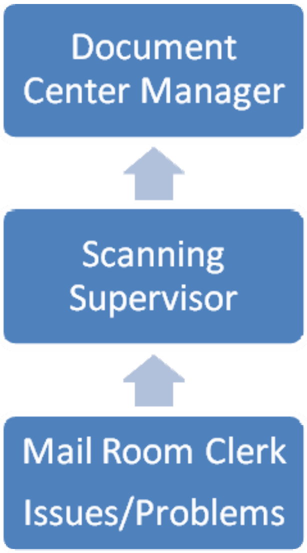


Figure 3.2.3 Document Center Mail Room Issue Escalation Process

2.6.2 **Process Description**

2.6.2.1 All issues or problems in the Mail Room are escalated to the Scanning Supervisor for resolution.

2.6.2.2 Any issues or problems that cannot be resolved by the Scanning Supervisor are reported to the Document Center Manager.

2.6.2.3 The Document Center Manager takes appropriate action to resolve the issue.

3.0 Document Image Capture (Scanning)

3.1 Overview and Objectives

The A4A form, Hoosier Healthwise, Healthy Indiana Plan, Online application and supporting documentation make up the majority of the Documents that are imaged and permanently stored to assist in the eligibility determination process. Additionally, some of the other Coalition partners forward working documentation to the Document Center to capture their images and file with the other information for the cases. This section defines and documents the procedures used to capture high quality images of this paperwork as follows:

- Receive and handle the Documents for scanning
- Open any unopened envelopes, remove Documents, and discard staples, paperclips or other foreign material
- Unfold, orient, and place Documents and envelopes on the scanner conveyors
- Identify specified "Original Documents" and monitor the scanning process for exception processing
- Rescan Documents that are identified to be of poor quality or partially captured
- After scanning, route the Documents to the Secure Document Retention Room

3.2 Roles and Responsibilities

Document Scanning Roles and Responsibilities	
Role	**Responsibility**
Scanner Operator	• Responsible for scanning the Documents received at the Document Center. • Monitors quality standards for the electronic images that are captured.
Scanning Supervisor	Resolves any scanning issues that occur during production.
Quality Analyst	Reviews a sample of the electronic images for quality

3.3 Scope

The scope of this section includes the procedures that are followed for scanning Documents received by the Document Center.

3.4 Measurements

Operational Goals

The goal of Document Center Scanning Department is to scan all Documents with good quality images and in a timely manner.

3.5 Operational Flow and Controls

3.5.1 Document Center Scanning Process Flow

Figure 3.3.1 is used to illustrate the Scanning process at the Document Center and the steps are described below.

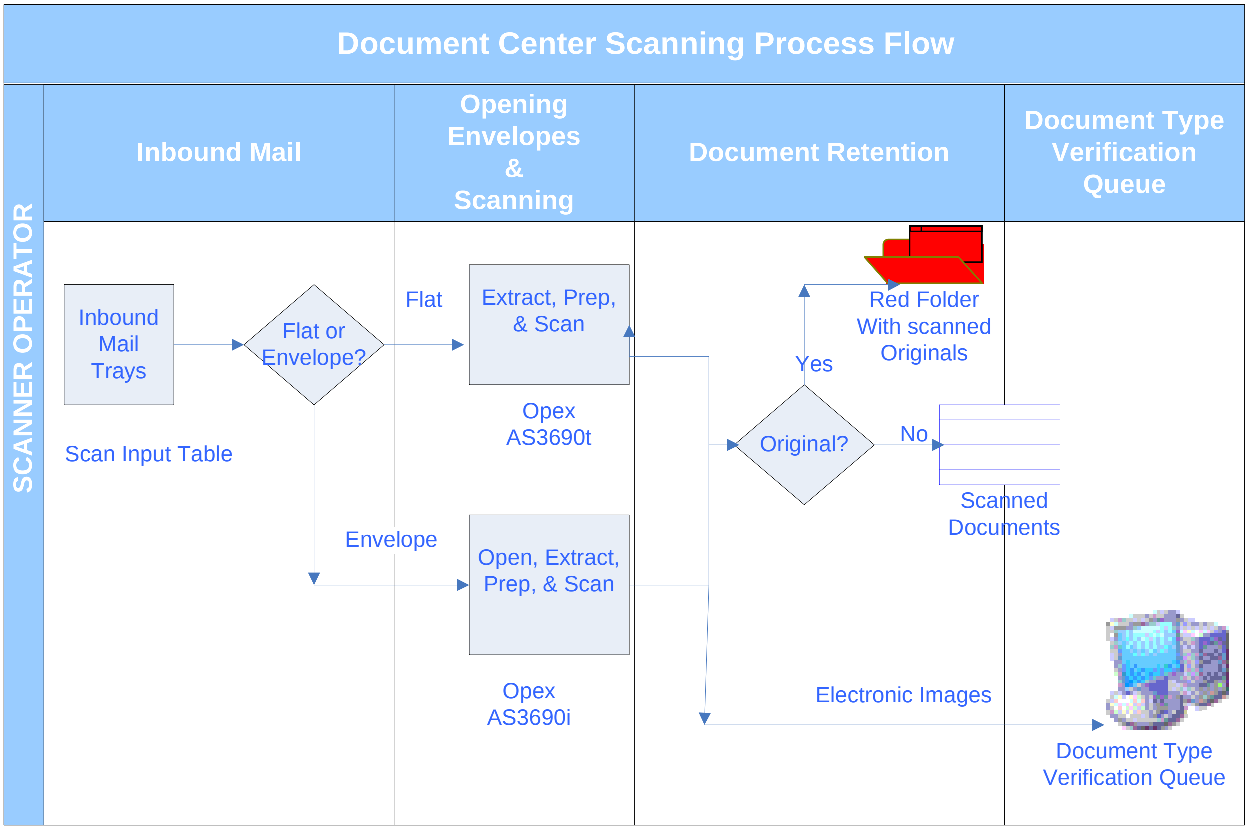

Document Center Scanning Process Flow
SCANNER OPERATOR
Inbound Mail
Opening Envelopes & Scanning
Document Retention
Document Type Verification Queue
Inbound Mail Trays
Scan Input Table
Flat or Envelope?
Flat
Envelope
Extract, Prep, & Scan
Opex AS3690t
Open, Extract, Prep, & Scan
Opex AS3690i
Original?
Yes
No
Red Folder With scanned Originals
Scanned Documents
Electronic Images
Document Type Verification Queue

Figure 3.3.1 Document Center Scanning Process Flow

3.5.2 **Document Center Scanning Process Description**

3.5.2.1 Mail Trays

- Inbound mail trays are placed on the scan input table in sequential order.
- The Scanner Operator picks up the trays in sequential order and takes them to the Opex scanner stations.

3.5.2.2 Opening Envelopes and Scanning

- Flat envelopes that were opened on the Omation are extracted, prepped and scanned on the Opex AS3690t.
- Other envelopes are taken to Opex 3690i, opened, extracted, prepped and scanned.
    - o The envelopes are used as a transaction separator page and are printed with audit trail information consisting of date, time, Operator name and scanner ID.
    - o The audit trail information is also included in the naming schema for the image data for troubleshooting or for the instances requiring Document retrieval.
    - o Documents are scanned at a density of 300 d.p.i.
    - o The Scanner Operator visually inspects the electronic images at the scanner for image orientation, lack of skewing or page folds, and general quality (lack of dark

  - spots or streaks on the images). If required, the Scanner Operator rescans and replaces the image at the Opex scanner.
  - The scanner generates two separate dates for all Documents that are processed in the Document Center.
  - The “Document Center Receipt Date” identifies the actual date that the Document was received at the Document Center.
  - The “Scan Date” reflects the actual date the Document is scanned.
  - A third date called “File Date” is captured at the Data Capture process if the file date is stamped on the first page of any of the following: A4A, Online application, Hoosier Healthwise, and Healthy Indiana Plan. If not stamped, the File Date is defaulted to the same value as the Document Center Receipt Date. Please see Section 6 for details.
  - During the scan process, any Original Documents and checks identified by the Scanner Operator are placed on the Opex conveyor to trigger IDAssist and are routed to a separate bin by the scanner. The Original Document indicator is updated on the image file.

3.5.2.3 Document Retention

- All Original Documents are placed in the Red Folder designated specifically for Original Documents.
- All other scanned Documents as well as the Red Folders are then placed in the respective mail trays and locked in the Secure Document Retention Room.
- Document images then flow in to the Document Type Verification Queue.

3.5.2.4 Exception Process Handling

- At the end of the business day, any Documents that are not scanned are placed in a box in the Secure Document Retention Room and distinctly marked as “To be Scanned”.
- The Scanning Supervisor processes these Documents on a separate Opex scanner the next day by appropriately reflecting the Receipt Date on that scanner. Operators do not have access to this separate Opex scanner and neither the operators nor Document Center Manager have the capability to change the Receipt Date on the other scanners.

3.6 Escalation Process

3.6.1 **Process Flow**

See Figure 3.3.2 below for schematic representation of the escalation process for scanning equipment issues:

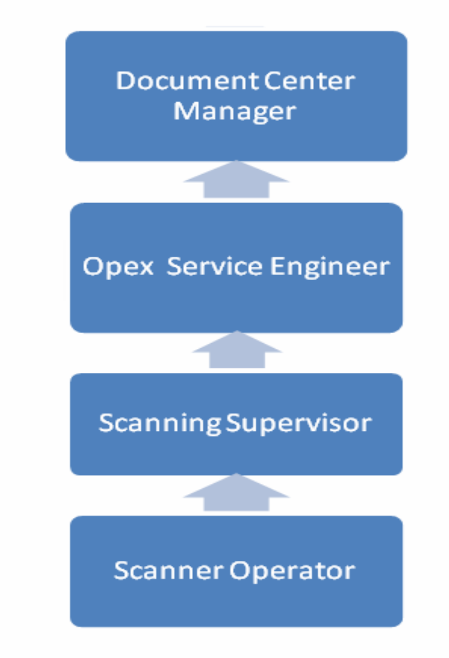

Document Center Manager
Opex Service Engineer
Scanning Supervisor
Scanner Operator

Figure 3.3.2 Document Center Scanning Equipment Issue Escalation Process

3.6.2 **Process Description**

3.6.2.1 Any issues during scanning are escalated to the Scanning Supervisor.

3.6.2.2 The Scanning supervisor informs the Document Center Manager and escalates equipment-related issue to the Opex service engineer.

3.6.2.3 Equipment-related issues that are not resolved at this point are escalated to the Document Center Manager by the Opex Service Engineer.

4.0 Document Center Rescanning

4.1 Overview and Objectives

In addition to scanning the inbound Documents, the Document center also processes rescan requests from the WFMS queue.
For documents that are not legible, the Service Center will request a rescan. With the help of the audit trail on the image, the Mail Room Clerk pulls the Document and rescans it with a barcoded cover sheet. At this time, the new Document image gets annotated to clearly distinguish between the Original image scanned and the new image.

4.2 Roles and Responsibilities

Document Scanning Roles and Responsibilities	
Role	**Responsibility**
Scanner Operator	• Responsible for scanning the Documents received at the Document Center. • Monitors quality standards for the electronic images that are captured. • Processes rescan requests.
Scanning Supervisor	Resolves any scanning issues that occur during production.
Mail Room Clerk	Pulls the document from the retention area.

4.3 Scope

The scope of this section includes the procedures that are followed for rescanning documents at the Document Center.

4.4 Measurements

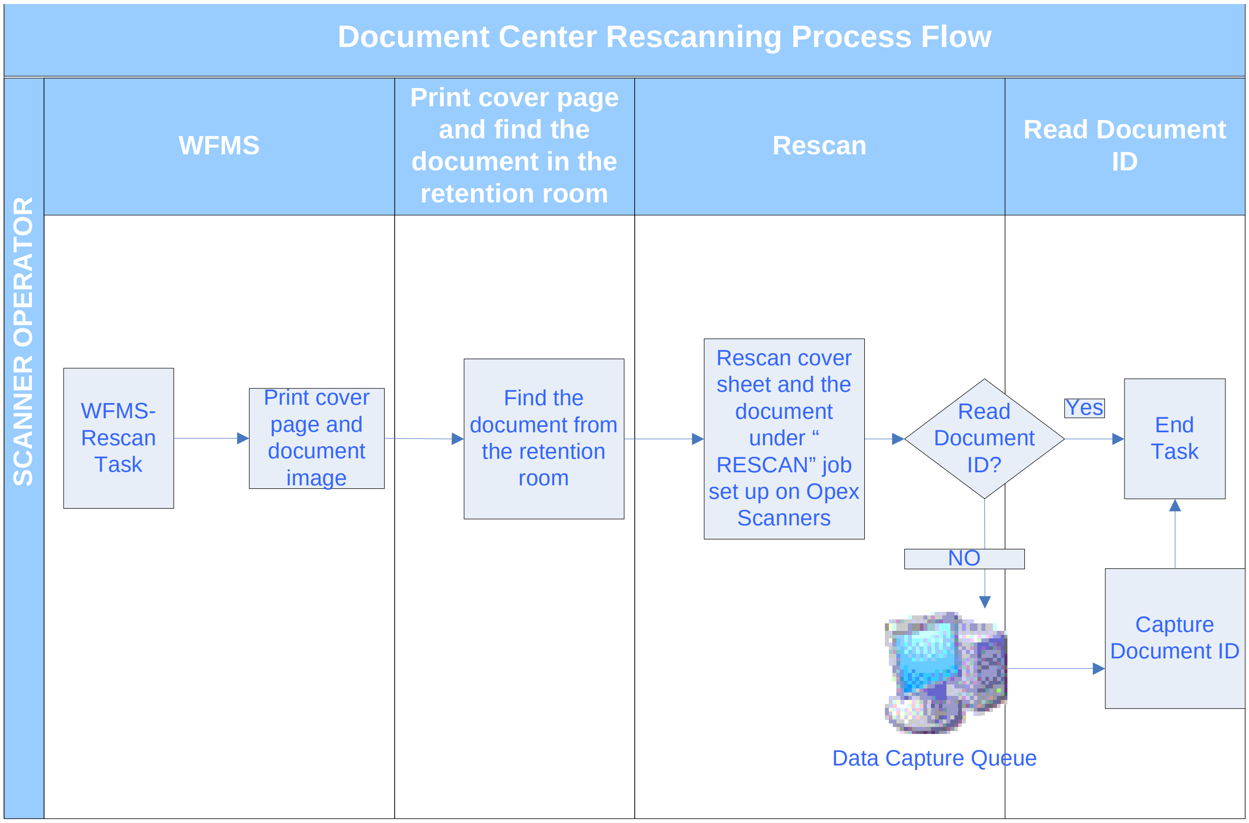
Operational Goals

The goal of Document Center scanning department is to process any rescan requests within a 24 hour timeframe.

4.5 Operational Flow and Controls

4.5.1 Document Center Rescanning Process Flow

Figure 3.4.1 is used to illustrate the rescanning process at the Document Center and the steps are described below.



Document Center Rescanning Process Flow
SCANNER OPERATOR
WFMS
Print cover page and find the document in the retention room
Rescan
Read Document ID
WFMS-Rescan Task
Print cover page and document image
Find the document from the retention room
Rescan cover sheet and the document under " RESCAN" job set up on Opex Scanners
Read Document ID?
Yes
End Task
NO
Data Capture Queue
Capture Document ID

Figure 3.4.1 Document Center Scanning Process Flow

4.5.2 Document Center Rescanning Process Description

4.5.2.1 WFMS

(a) Log into WFMS

Mail Room Clerk prints the Rescan request cover page and the document image by logging onto WFMS and going into rescan requests tasks.

(b) Audit trail

With the help of the audit trail the Mail Room clerk locates and retrieves the Document from the Secure Document Retention Room.

4.5.2.2 Rescan

(a) Job Set up

Opex Scanners have a special job setup to process rescan requests. This job (scanner configuration) is designed to recognize the Rescan Request cover page.

4.5.2.3 System Process

(a) Read Barcode

The system reads the barcoded cover page and this completes the rescan request.

(b) Failure to Read Barcode

In instances where the system fails to read the barcode, the image of the cover page gets routed to a Data Capture queue and the Operator manually keys the Document ID into the system.

4.6 Escalation Process

4.6.1 **Process Flow**

See Figure 3.4.2 below for schematic representation of the escalation process for rescanning issues:

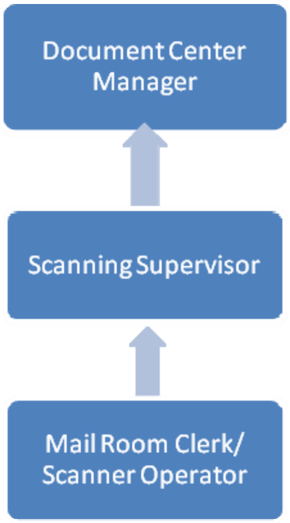


Figure 3.4.2 Document Center Rescanning Issue Escalation Process

4.6.2 **Process Description**

4.6.2.1 Any issues during rescanning escalated to the Scanning Supervisor.

4.6.2.2 The Scanning supervisor informs the Document Center Manager and escalates the issue to the Document Center Manager.

5.0 Document Center Return to Sender Process

5.1 Overview and Objectives

In addition to scanning the inbound Documents, the Document Center also processes mail that is returned to Document Center as “Undeliverable”. Returned mail is defined as mail that is returned to the Document Center because it was not delivered to the applicant. Such mail is processed at the Document Center under a special job setup on Opex scanners.

5.2 Roles and Responsibilities

Document Scanning Roles and Responsibilities	
Role	**Responsibility**
Scanner Operator	• Responsible for scanning the undeliverable mail. • Monitors quality standards for the electronic images that are captured.
Scanning Supervisor	▪ Resolves any scanning issues that occur during production.

5.3 Scope

The scope of this section includes the procedures that are followed for processing documents that are returned to the Document Center as “Undeliverable”.

5.4 Measurements

Operational Goals

The goal of Document Center Scanning Department is to scan all Documents with good quality images and in a timely manner.

5.5 Operational Flow and Controls

5.5.1 **Document Center return to sender Process Flow**

Figure 3.5.1 is used to illustrate the rescanning process at the Document Center and the steps are described below.

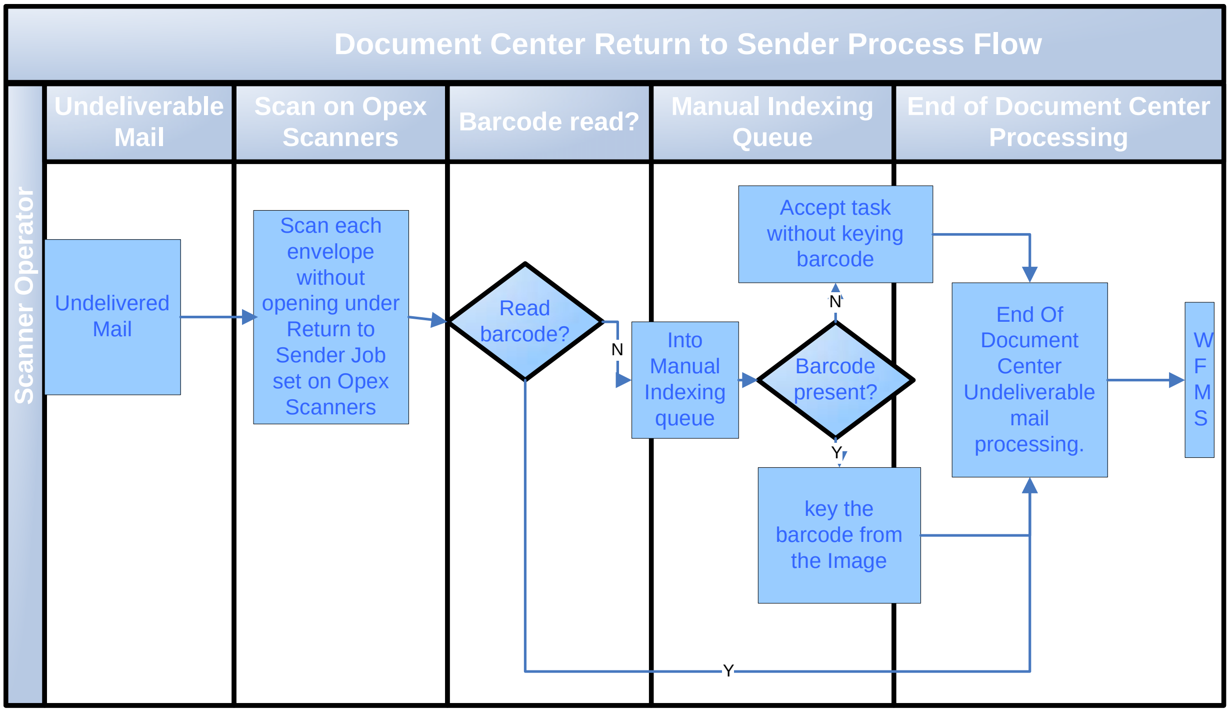

Document Center Return to Sender Process Flow
Scanner Operator
Undeliverable Mail
Scan on Opex Scanners
Barcode read?
Manual Indexing Queue
End of Document Center Processing
Undelivered Mail
Scan each envelope without opening under Return to Sender Job set on Opex Scanners
Read barcode?
N
Y
Into Manual Indexing queue
Barcode present?
N
Y
Accept task without keying barcode
key the barcode from the Image
End Of Document Center Undeliverable mail processing.
WFMS

Figure 3.5.1 Document Center Scanning Issue Escalation Process

5.5.2 **Document Center return to sender Process Description**

Any undeliverable mail is processed on the Opex scanners under a special job set up called "Return to Sender". The system is programmed to read the barcode on the returned mail envelope. In instances where the system fails to read the barcode, the image is routed to manual index operator and the operator manually keys in the barcode.

5.6 Escalation Process

5.6.1 **Process Flow**

See Figure 3.5.2 below for schematic representation of the escalation process for scanning issues:

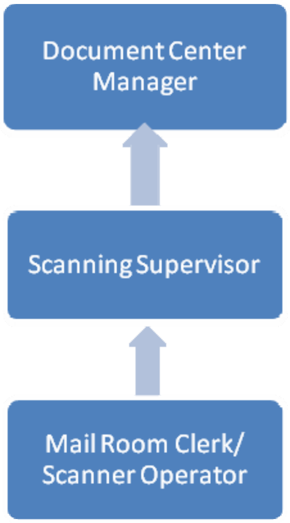

Document Center Manager
Scanning Supervisor
Mail Room Clerk/ Scanner Operator

Figure 3.5.2 Document Center Scanning Issue Escalation Process

5.6.2 Process Description

5.6.2.1 Any issues during scanning are escalated to the Scanning Supervisor.

5.6.2.2 The Scanning Supervisor informs the Document Center Manager and escalates the issue to the Document Center Manager.

6.0 Scanning Equipment and Software Maintenance

6.1 Overview and Objectives

High quality scanning equipment and supporting software products are used by the Document Center to produce very high quality images of the scanned Documents. The procedures in this section document the Operator maintenance schedules, preventative maintenance activities, and the expected software maintenance approaches that are implemented to make certain that maximum benefit is maintained from these products.

6.2 Roles and Responsibilities

Maintenance Roles and Responsibilities	
Role	**Responsibility**
Scanner Operator	Responsible for performing the daily maintenance of the scanner equipment that is important to producing the highest quality images.
Scanning Supervisor	Coordinates scanner maintenance activities and reports problems to Opex field engineer.
Opex Field Engineer	Performs monthly preventative maintenance that includes checking and testing the scanners for optimum performance.

6.3 Scope

The scope for this section includes the maintenance schedules for the scanner on daily, monthly and ad hoc basis in order to provide continuous and efficient operation of the scanners.

6.4 Measurements

6.4.1 Operational Goals

Scanning equipment and software maintenance contributes significantly to the overall performance of the Document Center.

6.5 Operational Flow and Controls

6.5.1 Daily Maintenance

Regular maintenance guarantees optimum scanner performance and is important in producing the highest quality scanned images. Daily maintenance is carried out after completely establishing the safety of the Operator and all others involved with the activity. Safety precautions and cleaning procedures pertaining to Opex AS3690 have been described in Scanner Operator Manual.

6.5.2 Monthly Preventative Maintenance

The Opex Service Engineer performs scheduled preventative maintenance which includes verifying the correct machine operation and testing for optimum performance.

6.5.3 Ad hoc Maintenance

A scanner service/problem log is maintained which provides a record for each scanner of its history for performance issues and hardware failures. Please refer to Attachment 4 for the Scanner Service Log document.

6.6 Escalation Process

6.6.1 Process Flow

See Figure 3.6.1 below shows the escalation procedure for software maintenance activities:

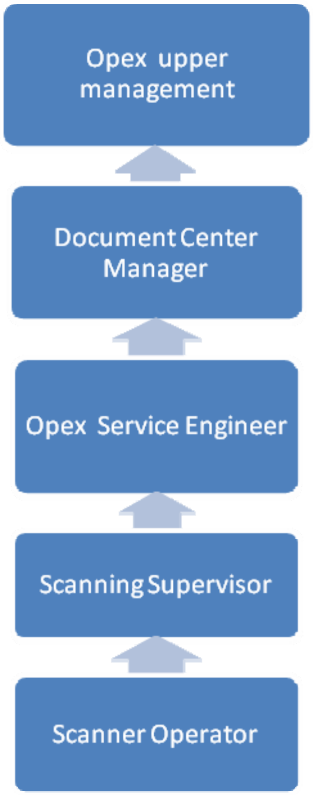

Opex upper management
Document Center Manager
Opex Service Engineer
Scanning Supervisor
Scanner Operator

Figure 3.6.1 Document Center Scanning Equipment and Software Maintenance Issue Escalation Process

6.6.2 Process Description

6.6.2.1 Any problems occurring with the scanner during daily production hours are addressed to the Scanning Supervisor.

6.6.2.2 The Scanning Supervisor informs the Document Center Manager and escalates the problem to Opex Service Engineer.

6.6.2.3 The Opex Service Engineer resolves the issue or elevates it to the Document Center Manager.

6.6.2.4 The Document Center Manager escalates unresolved issues to Opex upper management.

7.0 Document Classification by Type

7.1 Overview and Objectives

The Captiva software is configured and programmed to assist the classification of electronic images of scanned and faxed Documents by type (i.e., driver's license, rent receipt, utility bill, etc.). The Document Center supports the classification effort by reviewing all Documents that were not identified by Captiva processing and assigns a Document type to those remaining unclassified Documents. This section documents the Operator skills required and the step by step procedures that are used to complete Document classification.

7.2 Roles and Responsibilities

Document Classification Roles and Responsibilities	
Role	**Responsibility**
Data Capture Operator	Responsible for reviewing the images and assigning the correct Document type to all the Documents which cannot be identified by the Captiva software.
Data Capture Supervisor	Reviews a sample of electronic images for accuracy in assigning the Document type. Assists operators in document classification issues.

7.3 Scope

The scope of this section includes classifying and assigning the correct Document types to the Documents received by the Document Center.

7.4 Measurements (Inputs and Outputs)

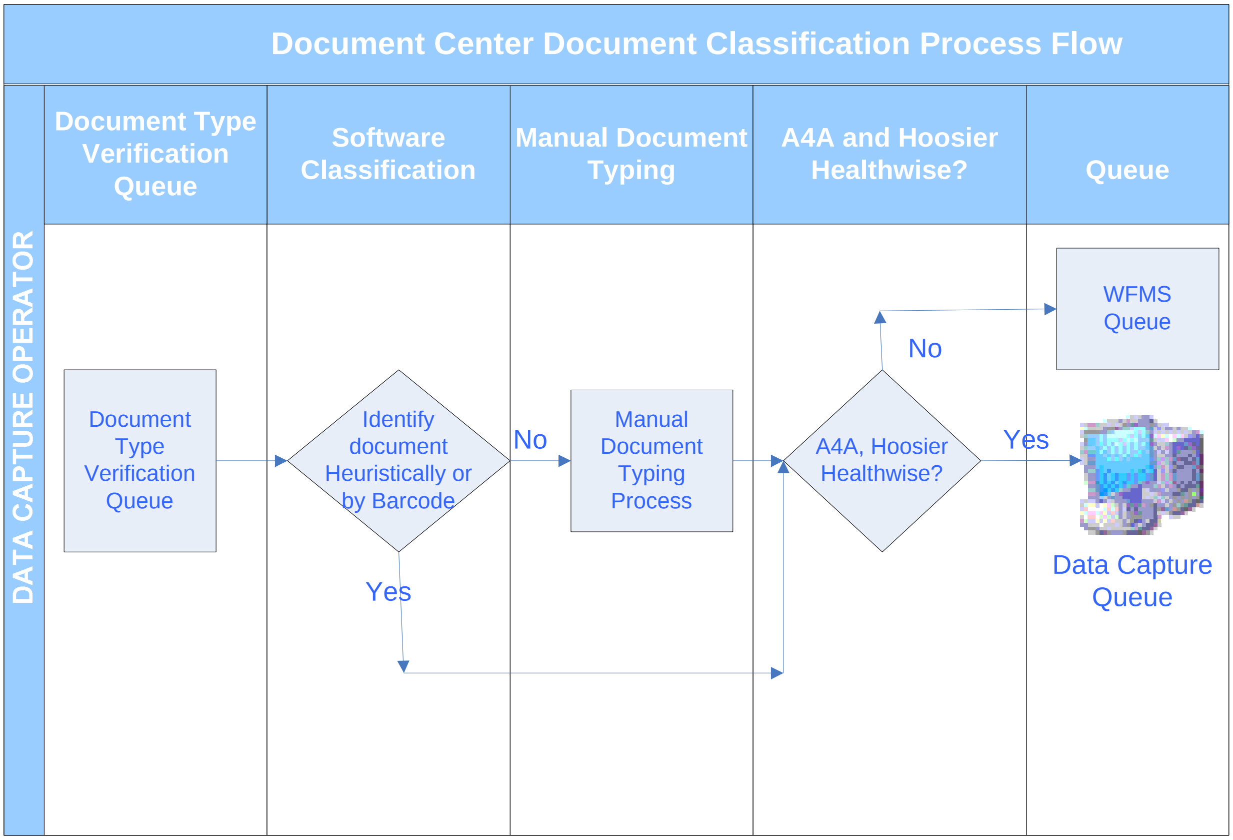
7.4.1 Operational Goals

The Document Center classifies all Documents with accuracy and in a timely manner.

7.5 Operational Flow and Control

7.5.1 **Document Center Document Classification Flow**

Figure 3.7.1 is a schematic representation of the Document Classification process.



Document Center Document Classification Process Flow
DATA CAPTURE OPERATOR
Document Type Verification Queue
Software Classification
Manual Document Typing
A4A and Hoosier Healthwise?
Queue
Document Type Verification Queue
Identify document Heuristically or by Barcode
No
Yes
Manual Document Typing Process
A4A, Hoosier Healthwise?
No
Yes
WFMS Queue
Data Capture Queue

Figure 3.7.1 Document Center Document Classification Process Flow

7.5.2 **Document Center Document Classification Process Description**

7.5.2.1 Document Type Verification Queue

Document Type Verification queue consists of all the scanned, faxed and network work scanned images. Captiva software uses barcodes or heuristic approach to identify Documents and classify them by type.

7.5.2.2 Software Classification

- The Captiva software system first uses specially coded barcodes to classify certain Applications with a Document type (i.e., A4A form, online application, Healthy Indiana Plan application and Hoosier Healthwise Application) and identify specific page numbers.
- When a barcode is not available or when one is available but cannot be properly read, then the software uses a heuristic approach to analyze that Document and attempt to classify the Document by type.

7.5.2.3 Manual Document Typing

- All unclassified Documents are then routed to the Manual Document Typing Queue.
- Images are presented to the Operator one image at a time.
- The Operator reviews the Document image and assigns a Document type based on the document codes available in document typing.

7.5.2.4 A4A, Healthy Indiana Plan and Hoosier Healthwise

- Once a document type is assigned to all the Documents in the transaction either by the software or the Data Capture Operator, then the images of A4A, Healthy Indiana Plan and Hoosier Healthwise applications are sent to Data Capture queue.
- All other classified Documents are sent to the WFMS queue.
- Any Documents that cannot be identified by the Operator are assigned an “unknown” document type by the Operator and it flows to the WFMS queue.

7.5.3 **Escalation Process Flow**

See Figure 3.7.2 below displays the escalation process for Document Classification issues:

Figure 3.7.2 Document Center Document Classification Issue Escalation Process Flow

7.5.4 **Process Description**

Document classification issues and problems are reported to the Data Capture Supervisor. Any issues that are not resolved at this point are escalated to the Document Center Manager.

8.0 Data Capture

8.1 Overview and Objectives

The Captiva software is configured to automate the capture of the applicant's responses on scanned, faxed and network scanned A4A and Online applications. Both handwritten and machine printed responses to the questions on this form are processed through OCR/ICR and OMR data extraction engines to capture and record the responses into a database. The Document Center supports this effort with manual Data Capture activities for all Documents with incompletely read data or for fields identified with less than a high level of confidence for accuracy. Since the software is not configured to automate the capture of applicant's responses on Hoosier Healthwise and Healthy Indiana Plan applications, the Document Center manually enters applicant's responses on scanned and faxed Hoosier Healthwise and Healthy Indiana Plan forms into a database. This section documents the Operator skills required and the step by step procedures that are used to complete this Data Capture activity.

8.2 Roles and Responsibilities

Data Capture Roles and Responsibilities	
Role	**Responsibility**
Data Capture Operator	Responsible for reviewing the quality of the image and validating correctness of the data.
Data Capture Supervisor And Scanning Supervisor	Resolves all the Data Capture and/ or scanning issues occurring in production.
Quality Analyst	Reviews a sample of the Document images and verifies the accuracy of the data captured.

8.3 Scope

The scope for this section includes the procedures that are followed to make certain that the data captured is as complete and accurate as possible.

8.4 Measurements (Inputs and Outputs)

8.4.1 Operational Goals

The Document Center captures the data on A4A, Online applications, Healthy Indiana Plan applications and Hoosier Healthwise with accuracy and in a timely manner.

8.5 Operational Flow and Control

8.5.1 **Document Center Data Capture Process Flow**

Please refer to Figure 3.8.1 for the schematic representation of the Data Capture process flow.

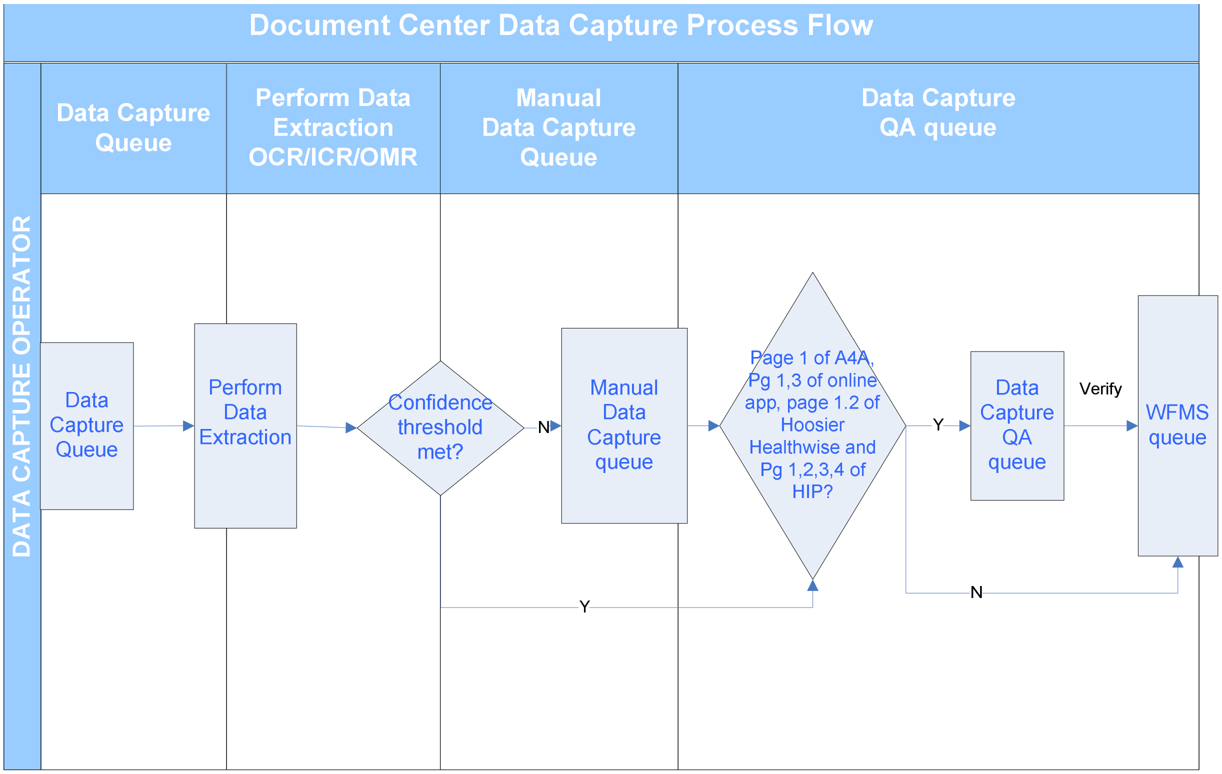

Document Center Data Capture Process Flow
DATA CAPTURE OPERATOR
Data Capture Queue
Perform Data Extraction OCR/ICR/OMR
Manual Data Capture Queue
Data Capture QA queue
Data Capture Queue
Perform Data Extraction
Confidence threshold met?
N
Y
Manual Data Capture queue
Page 1 of A4A, Pg 1,3 of online app, page 1.2 of Hoosier Healthwise and Pg 1,2,3,4 of HIP?
Y
N
Data Capture QA queue
Verify
WFMS queue

Figure 3.8.1 Document Center Data Capture Process Flow

8.5.2 **Document Center Data Capture Process Description**

8.5.2.1 Data Capture Queue

Data Capture queue consists of all the scanned and faxed images of A4A, Healthy Indiana Plan and Hoosier Healthwise applications.

8.5.2.2 Data Extraction

- Captiva software performs data extraction on the A4A form by using OCR/ICR/OMR data extraction engines.
- Document cover sheets with “Image only” and “Image and Process” check boxes are read by OCR/ICR/OMR and are validated during Data Capture.
- If the confidence level on data extraction is not met, the software automatically sends the transaction to a Data Capture Operator.

8.5.2.3 Manual Data Capture

- Data Capture Operator is presented one image at a time.

- Data Capture Operator keys in characters as viewed on the Document image when missing from the appropriate fields on the A4A and Online application.
- Any characters that are misread by the system are re-keyed by the Operator.
- Data Capture Operator keys in applicant's responses from all the answered fields on Hoosier Healthwise and Healthy Indiana Plan application form.

8.5.2.4 Data Capture QA

- Data Capture QA Operator reviews page one of A4A and Online application, the critical fields on pages one and two of Hoosier Healthwise applications, and pages one, two, three and four of Healthy Indiana Plan, and verifies the accuracy of the data on the critical fields.
- Any characters misread or incompletely read either by the Data Capture Operator or the Captiva system are re-keyed at this time.
- On completion of Data Capture QA, the transaction is sent to WFMS queue.
- Data Capture Supervisor provides feedback and training to the operators on errors as a measure to continuously improve their performance.

8.6 Escalation Process

8.6.1 **Process Flow**

Figure 3.8.2 below is developed to exhibit the Data Capture issue resolution process.

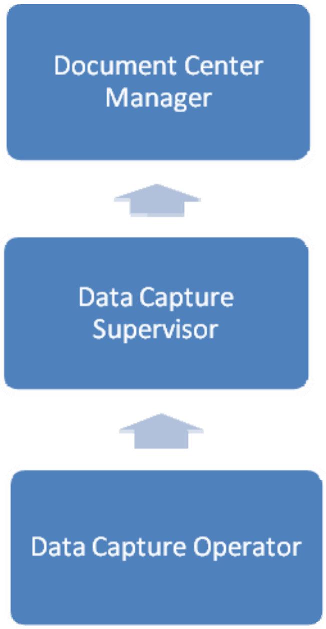


Figure 3.8.2 Document Center Data Capture Issue Escalation Process Flow

8.6.2 **Process Description**

8.6.2.1 Data Capture issues and problems are reported to the Data Capture Supervisor.

8.6.2.2 Any issues that cannot be resolved by the Data Capture Supervisor are escalated to the Document Center Manager.

9.0 Indexing

9.1 Overview and Objectives

The Captiva Manual Index provides operators with an interface to view the pages in the transaction and to key in vital data in the text boxes provided to capture the data. Operators who work the task queue for Indexing handle the standard tasks such as viewing the pages and entering in key data elements from the pages in the text boxes provided. Operators who work the QA queue are responsible for verifying and, when necessary, correcting the data captured by the Index Operator. The QA Operators are responsible for handling the internal corrective actions that need to be taken in the case of “Repeater Page” or “Foreign Page” errors occurring in a transaction.

“Foreign page” and “Repeater page” indexing functions are described in Section 9.5.2.

9.2 Roles and Responsibilities

Document Retention Roles and Responsibilities	
Role	**Responsibility**
Data Capture Operator	Responsible for capturing the data accurately.
Data Capture Supervisor	Responsible for training the Data Capture Operators in the Data Capture process and the Indexing functions.
Indexing Operator	Responsible for performing the Index and Index QA functions.

9.3 Scope

The scope of this section includes the procedures used to perform Indexing functions as required by the Captiva Software.

9.4 Measurements (Inputs and Outputs)

9.4.1 Operational Goals

The Document Center captures the data on A4A, Online application, Healthy Indiana Plan Applications and Hoosier Healthwise with accuracy and in a timely manner.

9.5 Operational Flow and Control

9.5.1 Document Center Indexing Process Flow

Figure 3.9.1 below is an illustration of the Document Indexing process of the Document Center.

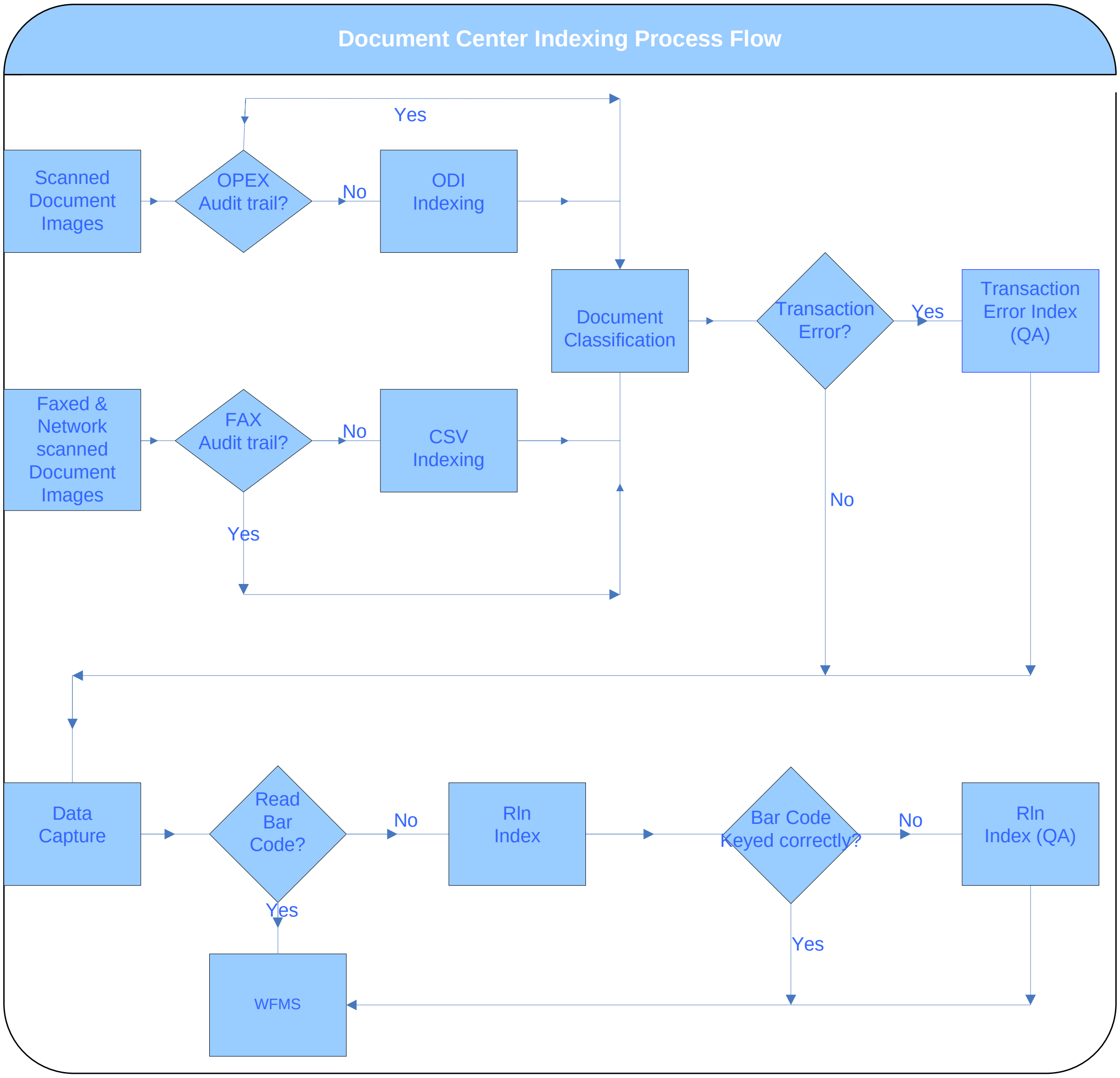

Document Center Indexing Process Flow
Yes
Scanned Document Images
OPEX Audit trail?
No
ODI Indexing
Document Classification
Transaction Error?
Yes
Transaction Error Index (QA)
Faxed & Network scanned Document Images
FAX Audit trail?
No
CSV Indexing
Yes
No
Data Capture
Read Bar Code?
No
Rln Index
Bar Code Keyed correctly?
No
Rln Index (QA)
Yes
Yes
WFMS

Figure 3.9.1 Document Center Indexing Process Flow

9.5.2 **Document Center indexing Process Description**

9.5.2.1 ODI Index:

Once the Documents are scanned, if some key data elements of the scanned file are not captured by the system, then the batch is routed to an Index Operator to key in the missing fields.

The key fields are as follows:

1. Opex Batch Number
2. Scan Operator Name

3. Process Date
4. Transport Id

9.5.2.2 CSV Index:

If some key data elements that accompany a fax and network scanned image are not present, then the batch is routed to an Index Operator to key in the required fields.

The key fields are as follows:

1. External System Batch Number
2. Fax Receive Date
3. Fax Receive Time
4. Sender's Fax Number

9.5.2.3 Txn Error Index: Transaction Error Index

The Captiva system routes the transactions to Index QA queue if either one or both of the following conditions occur:

A. Foreign Page
B. Repeater Page

A. Foreign Page: Tasks are queued in this module if the Captiva application finds that there are more then one unique barcodes within a transaction. This scenario can occur when a scan operator scans in pages for two different envelopes in a single transaction without adding the required Envelope separator. This scenario also occurs when more then one Application is faxed in a single transaction. The Captiva application detects that pages within a transaction belong to more than one barcode and sends the transaction to the 'TxnErrorIndex" queue. The QA Operator opens the task in the Index QA interface and then breaks the transaction manually to separate out the pages belonging to different transactions.

B. Repeater Page:
This scenario occurs when the applicant makes copies of Application pages and submits the pages along with the original Application pages. The QA Operator opens the task in the Manual Index interface and then classify the Repeater pages as "Extra Application Page" by selecting the page type value from a drop-down list. If the repeater page is not an Application page then the operator can also classify it as "unknown".

9.5.2.4 Rln Index: Record Locator Index

A task is queued in this module only if a barcode is not detected on any page within a transaction. The only way to obtain a barcode automatically is by reading it from a valid barcode on any pages within a transaction. If none of the pages within a transaction have a barcode, or if the Captiva system fails to read any of the barcodes, then the transaction is routed to an Index Operator.

The Index Operator searches through all the pages in the transaction to find a barcode. If a barcode is found, then the operator must enter the entire barcode contents in the text box that is provided. If no barcode is found, then the operator should accept the task as-is with a blank barcode. In the instance where in the barcode is not entered, the transaction flows into the WFMS as non-indexed Documents. It is beyond the scope of the Document Center SSPM Volume 3 to describe the workflow of non-indexed Documents in WFMS.

9.5.2.5 Rln Index QA: Record Locator Index

If an Index Operator has keyed in a barcode incorrectly in the above interface (Rln Index) the Transaction is sent to the QA Operator.

The transaction is also sent to a QA Operator if the system automatically detects an incorrect barcode on one of the transaction pages.

The QA Operator reviews the barcode and enters it correctly into the text box provided. If an incorrect barcode is entered by QA, then the task does not leave the QA Operators' queue. The QA "MUST" enter the correct barcode. If after multiple tries of keying the barcode and the system routes the task back into the Rln Index QA queue, then the QA Operator blanks out the barcode text box.

9.6 Escalation Process

9.6.1 **Process Flow**

Figure 3.9.2 below is developed to exhibit the Data Capture Indexing issue resolution process.

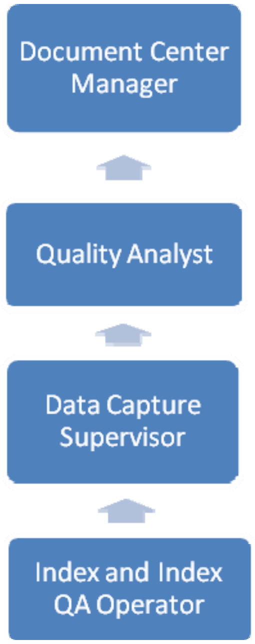


Figure 3.9.2 Document Center Indexing Issue Escalation Process Flow

9.6.2 **Process Description**

9.6.2.1 Indexing issues and problems are reported to the Data Capture Supervisor.

9.6.2.2 Any issues that cannot be resolved by the Data Capture Supervisor are escalated to the Quality Analyst.

9.6.2.3 Any issues that cannot be resolved by the Quality Analyst are escalated to the Document Center Manager.

10.0 Document Retention

10.1 Overview and Objectives

All Documentation received by the Document Center are retained in a Secure Document Retention Room for a minimum of two business days and then either destroyed or returned to the sender (in the case of identified "Original Documents"). Any retrieval of Documents from retention is documented and their timely return closely monitored. Voter Registration Forms are mailed to State-designated offices along with the photocopies of all supporting Documents received with the A4A except medical records of the applicant. All checks are scanned and logged on a spreadsheet and forwarded to State-designated forwarding addresses. See Attachment 7 for Document Center Check Log spreadsheet. Any other checks other than those specified by the State are mailed back to the applicant. This section documents the appropriate handling of paperwork following processing at the scanner stations.

10.2 Roles and Responsibilities

Document Retention Roles and Responsibilities	
Role	**Responsibility**
Scanner Operator	• Responsible for identifying Original Documents, scanning them, and placing them separately in a Red Folder designated only for Original Documents. • Log any checks received.
Scanning Supervisor	▪ Responsible for identifying that only Original Documents that are on the "Original Document List" are placed in the Red Folders.
Mail Room Clerk	• Verifies all scanned Documents are placed in the Secure Document Retention Room. • Verifies that the Original Documents are placed in their correct envelope following the two business day retention period and mailed back to the applicant. • Validates that all other scanned Documents are retained in a secure retention area for a minimum of two business days before destroying.

10.3 Scope

The scope of this section includes the procedures used to return Original Documents to the applicants and for retaining all Documents in the Secure Document Retention Room.

10.4 Measurements

10.4.1 **Operational Goals**

All Documents retained at the Document Center are kept in the Secure Document Retention Room.

10.5 Operational Flow and Control

10.5.1 **Document Center Document Retention Process Flow**

Figure 3.10.1 below is an illustration of the Document Retention process of the Document Center.

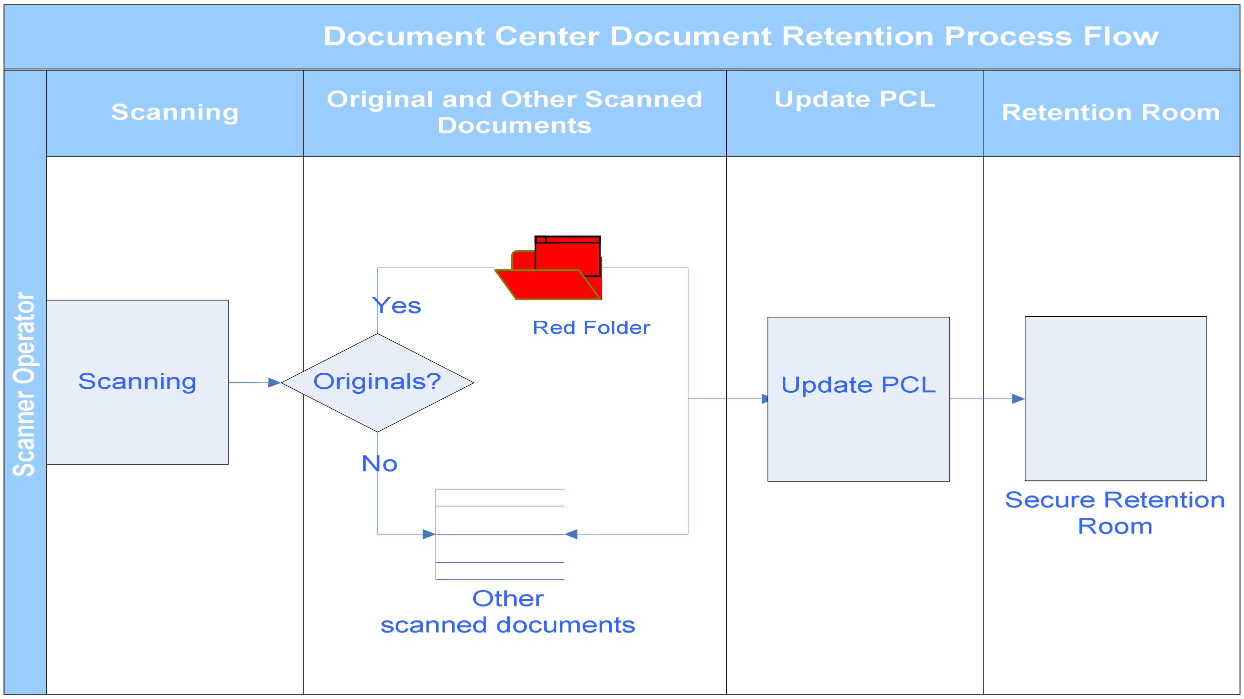

Document Center Document Retention Process Flow
Scanner Operator
Scanning
Original and Other Scanned Documents
Update PCL
Retention Room
Scanning
Originals?
Yes
Red Folder
No
Other scanned documents
Update PCL
Secure Retention Room

Figure 3.10.1 Document Center Document Retention Process Flow

10.5.2 **Document Center Document Retention Process Description**

Scanning

At the Opex scanner stations all the Documents received by the Document Center are scanned.

10.5.2.1 Originals and other scanned Documents

- All scanned Documents are placed in storage trays that are identified with a tray #.
- Original Documents and checks received are scanned and placed in a Red Folder. This folder is then placed in a mail tray along with the other scanned Documents.

10.5.2.2 Update PCL

PCL is updated with by the Scanner Operator with scanner id, count of Documents and envelopes scanned, and the number of Original Documents.

10.5.2.3 Retention Room

- The Mail trays are taken to the Secure Document Retention Room by the Mail Room Clerk in the presence of the Scanning Supervisor.
- The trays are stacked in order by their tray #.

10.5.2.4 Exception Handling

At the end of the business day, any unprocessed Documents are placed in a box in the Secure Document Retention Room and distinctly marked as “To be scanned” by the Mail Room Clerk in the presence of the Scanning Supervisor. On the next business day the Scanning Supervisor directs these Documents to a separate scanner with a job setup that appropriately reflects the correct Document Center Receipt Date, with authorization from the Document Center Manager.

10.6 Escalation Process

10.6.1 **Process Flow**

Figure 3.10.2 below demonstrates the escalation process for any Document retention issues:

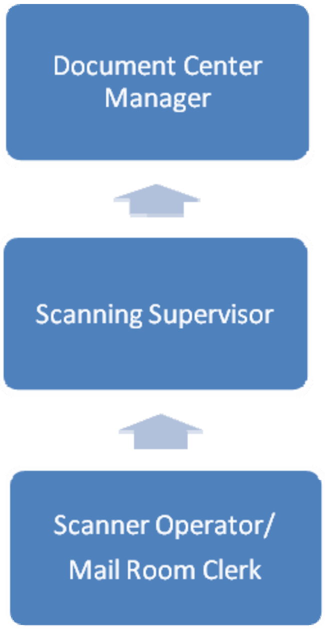


Figure 3.10.2 Document Center Document Retention Issue Escalation Process Flow

10.6.2 **Process Description**

10.6.2.1 Any problems with Document retention are addressed to the Scanning Supervisor.

10.6.2.2 Issues that are not resolved by the Scanning Supervisor are elevated to the Document Center Manager.

11.0 Retention of Documentation during Pilot Phase

11.1 Overview and Objectives

For Pilot, the normal Document retention period is extended to include the entire period of the Pilot. The Original Documents that will be returned to the applicant are an exception to this extension period; these Documents are retained for the normal two business day retention period.

This extended retention period provides the Coalition with the additional safeguard of being able to return to the processed Documents as the longer term processes and procedure are being confirmed. After Pilot phase, all Documents are destroyed and the normal procedure for the two (2) day retention period for all Documents is initiated. This section documents the procedures to be used during the Pilot phase for the retention and retrieval of the Document Center retained paperwork.

11.2 Roles and Responsibilities

Document Retention and Retrieval for Pilot Phase- Roles and Responsibilities	
Role	**Responsibility**
Scanner Operator	• Responsible for identifying Original Documents received and placing them separately in a Red Folder designated only for Original Documents that are scanned
Scanning Supervisor	• Responsible for identifying that only the Original Documents are placed in the Red Folder • Verifies that the Original Documents are placed in their correct envelope following the two business days retention period and mailed back to the applicant
Mail Room Clerk	• Verifies all scanned Documents are placed in the Secure Document Retention Room. • Verifies that the Original Documents are placed in their correct envelope following the two business days retention period and mailed back to the applicant • Validates that all other scanned Documents are retained in the Secure Document Retention Room for a minimum of two business days before destroying.

11.3 Scope

The scope for this section includes the procedures that are followed by the Document Center in extending the normal Document retention period in support of establishing long term production procedures.

11.4 Measurements (Inputs and Outputs)

11.4.1 Operational Goals

All Documents retained at the Document Center are kept in the Secure Document Retention Room during the entire duration of the Pilot phase.

11.5 Operational Flow and Control

The operational goal is to implement procedures in order to streamline and establish the long term procedures to be followed at the Document Center.

11.6 Escalation Process

11.6.1 **Process Flow**

Figure 3.11.1 illustrates the resolution of issues and key points of contact for escalating the issues during Pilot phase.

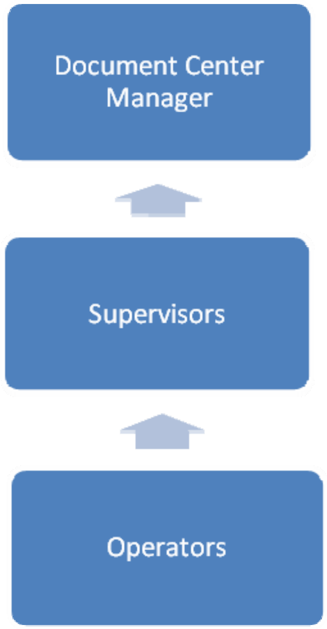


Figure 3.11.1 Document Center Document Retention during Pilot Issue Escalation Process Flow

11.6.2 **Process Description**

11.6.2.1 Any issues or problems during the Pilot phase are reported to the department Supervisors.

11.6.2.2 The department Supervisors elevates the issue to the Document Center Manager.

11.6.2.3 The Document Center Manager takes appropriate action to resolve the issue and/ or escalate the issue to the Coalition for resolution.

12.0 Operational Quality Assurance

12.1 Overview and Objectives

In addition to the processes and procedures outlined in the Quality Management Plan, the Document Center implements internal operational controls to assist in managing the daily operations and for producing a high quality product.

12.2 Roles and Responsibilities

The Document Center Manager is responsible for monitoring performance metrics and reporting on performance and improvement activities.

12.3 Scope

The scope for this section includes quality assurance measures adopted by the Document Center for smooth and efficient functioning of its day-to-day operations.

12.4 Measurements

Please refer to SSPM Volume 6 for the Key Performance Indicators related to the Document Center. The Coalition Quality Team and the Document Center QA monitors performance and responds to issues as outlined in Volume 6. In addition, the Document Center has a quality assurance process as described in this section.

12.5 Quality Assurance Process Flow

12.5.1 **Document Center Quality Assurance Process Flow**

See Figure 3.12.1 below for an illustration of the Performance monitoring activities at the Document Center.

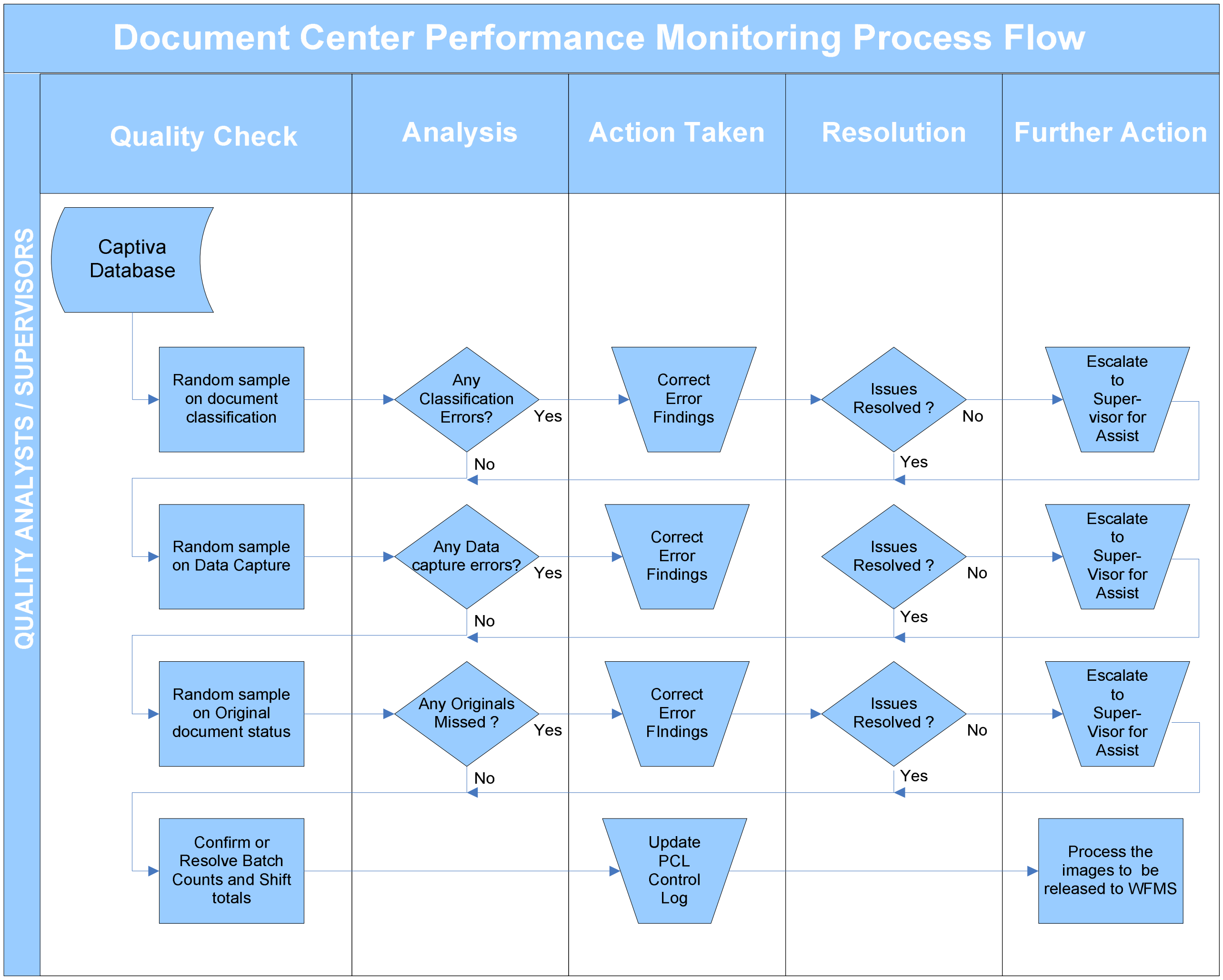

Document Center Performance Monitoring Process Flow
QUALITY ANALYSTS / SUPERVISORS
Quality Check
Analysis
Action Taken
Resolution
Further Action
Captiva Database
Random sample on document classification
Any Classification Errors?
Yes
No
Correct Error Findings
Issues Resolved ?
No
Yes
Escalate to Super-visor for Assist
Random sample on Data Capture
Any Data capture errors?
Yes
No
Correct Error Findings
Issues Resolved ?
No
Yes
Escalate to Super-Visor for Assist
Random sample on Original document status
Any Originals Missed ?
Yes
No
Correct Error FIndings
Issues Resolved ?
No
Yes
Escalate to Super-Visor for Assist
Confirm or Resolve Batch Counts and Shift totals
Update PCL Control Log
Process the images to be released to WFMS

Figure 3.12.1 Document Center Performance Monitoring Process Flow

12.5.2 **Document Center Quality Assurance Process Description**

12.5.2.1 Quality Check

These monitoring procedures are internal Document Center procedures developed and documented to provide coverage for the following operational areas:

- Document Type Classification by Operators
- Data Capture quality by Operators
- Original Document identification accuracy
- Batch counts, shift totals

12.5.2.2 Analysis

The Quality Analyst reviews a sample of completed work products of the Document Center staff and assess the overall quality and accuracy of scanned images, Document classification and Data Capture activities.

12.5.2.3 Action Taken

In those situations where errors are found and corrective actions are possible, then the necessary actions are taken to either correct the errors immediately or document the conditions so that follow-up action is taken. Supervisors provide feedback and training to the operators on errors as a means to continuously improve their performance.

12.5.2.4 Resolution

Problems that are identified are documented, tracked, and reported to Document Center management using continuous improvement methodologies as described in the Quality Management Plan.

12.5.2.5 Further Action

Further action is taken and implemented at the discretion of the Document Center management and the Coalition Quality Manager.

12.6 Corrective Action

- Internal corrective action is initiated as the result of quality reviews that occur in the process of any manual function within the Document Center.
- Quality issues are reported by the Quality Analyst or department Supervisors through the Quality Issue and Resolution Document (see Attachment 6).
- The written description is reported to the Document Center Manager who initiates additional appropriate action as necessary.
- The Document Center Manager confirms that the quality policy includes a commitment to comply with business requirements and continually improve the effectiveness of the quality procedures.

12.7 Escalation Process

12.7.1 **Process Flow**

Figure 3.12.2 illustrates the Quality Assurance Issue Resolution Escalation process.

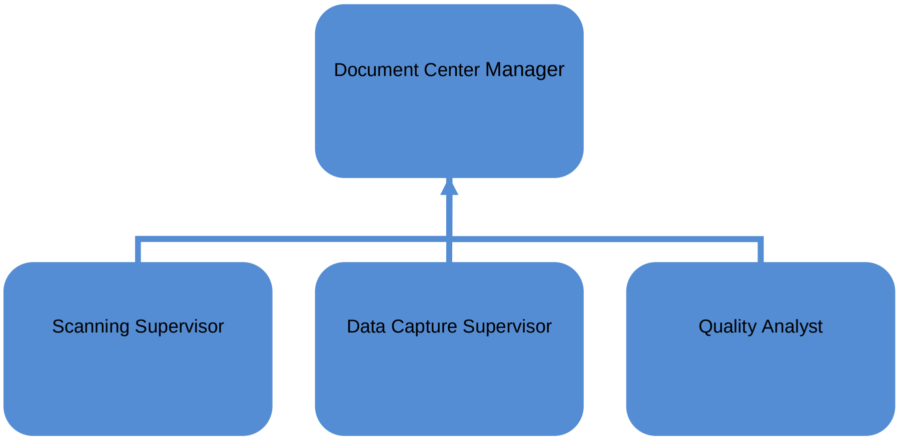


Figure 3.12.2 Document Center Quality Assurance Issue Escalation Process Flow

12.7.2 **Process Description**

12.7.2.1 Scan and Mail Room issues

Any Scanner Operator and / or Mail Room Clerk issues are addressed to the Scanning Supervisor for resolution.

12.7.2.2 Data Capture Operator

Any Data Capture issues are addressed to the Data Capture Supervisor.

12.7.2.3 Quality Analyst

The Quality Analyst coordinates with the Scanning Supervisor and the Data Capture Supervisor to resolve any quality related issues.

12.7.2.4 Document Center Manager

The Document Center Manager resolves any issues not resolved by the department Supervisors and/or the Quality Analyst.

12.8 Preventative Action

Preventative action is initiated when any of the quality levels for Document Center processes fall below established production and quality standards (i.e. additional training on the job, feedback etc.). Potential problem areas are identified and process improvements are implemented from time to time. These procedures include:

- Develop and document appropriate courses of action to prevent the problems from re-occurring.
- Follow-up with changes in the documentation and provide additional training as needed.

12.9 Continuous Improvement

Continuous improvement is an ongoing process that is a result of emphasizing problem identification and resolution in a production environment that gives rise to increased efficiencies. This activity is all inclusive of the manual and automated production processes in the Document Center. Any deficiencies noted in production are reported. Some of the methods that are used to identify areas for improvement process are:

- Financial measurement
- Measurement and reporting of performance throughout the organization
- External evaluation through Key Performance Indicators
- Assessment of the feedback from employees and other Coalition members.
- Evaluation of other success factors identified by management

This follows the continuous improvement methodologies as outlined in the Quality Management Plan.

13.0 General Security Procedures

13.1 Overview and Objectives

The Document Center implements and maintains security procedures in the Service Center. The following are some of the areas documented in this section with procedures that expand on the following:

13.1.1 **Health Insurance Portability and Accountability Act (HIPAA) Regulations**

The Document Center observes HIPAA Regulations. The regulations are aimed at improving efficiency and effectiveness of the health care system. Each employee has unique health identifiers, health plans and health care providers. It also covers privacy and security standards to protect the confidentiality and integrity of individual's health information.

13.1.2 **Confidentiality and Conduct Expectation Agreement**

Each employee signs a Confidentiality Agreement and a Conduct Expectation Agreement. The Document Center provides each employee with an Employee Manual. Each employee must sign off that they understand and comply with the requirements of the job. The manual explains the benefits, policies and procedures of the Document Center. Each employee is issued an access card/identification badge to gain controlled access the Document Center facility.

13.1.3 **Background Check and Drug-Screening Test**

Each person working at the Document Center has his/ her background check completed before being offered employment. In addition, each employee is subjected to drug screening test.

13.1.4 **Security and Access Restriction**

The Document Center facility is secured with IBM-provided security and access restrictions. Each employee is issued an access card/ identification badge to access the Document Center building.

13.1.5 **Entry Procedure for Visitors**

Visitors must sign in at the Service Center Security and note the time they arrived, time departed, organization that the visitors belong to, and the reason for their visit. Visitors are issued a visitor badge and escorted to and from the Document Center facility.

13.1.6 **Terminals with sensitive and/or private information**

Terminals that display sensitive and/or private information become blank after a predetermined time period. The Document Center employee is required to enter their login and password to gain access back into the system.

13.1.7 **Printers and Fax Machines**

At the end of the day any confidential information left on the printers or faxes is destroyed by the department Supervisors.

13.1.8 **Unprocessed Documents**

At the end of the business day, any unprocessed Documents are placed in a box in the Secure Document Retention Room and distinctly marked as “To be scanned”. Any confidential Documents are locked up in the secure location at the end of the day.

13.2 Roles and Responsibilities

An individual from Human Resources is responsible for administering policies, training, enforcing proper security protocol, and maintaining all paperwork for new employees. See Attachment 1 for the Document Center Organization Chart.

13.3 Scope

The scope for this section includes the measures taken for securing the facility, maintaining confidentiality requirements, and providing for the overall safety of the Document Center staff.

13.4 Measurements

The Document Center utilizes a trained workforce to complete their processing of all Documents received.

13.5 Escalation Process

13.5.1 **Process Flow**

Figure 3.13.1 illustrates the Escalation Process Flow.

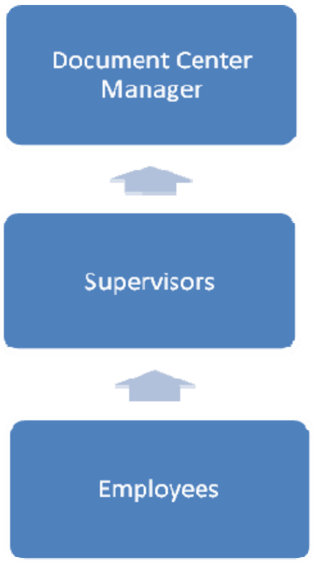


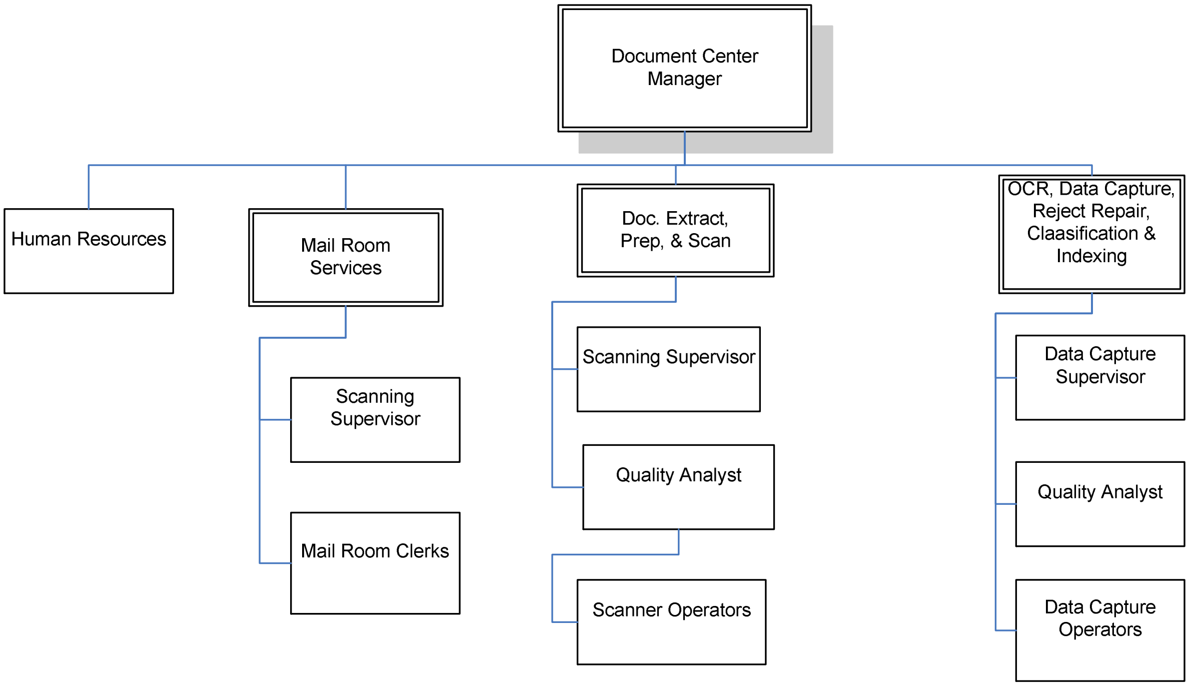
Figure 3.13.1 Document Center General Security Procedures Issue Escalation Process Flow

13.5.2 **Process Description**

Any issues with respect to the employees are escalated to the department Supervisors. The supervisor then escalates the issue to the Document Center Manager.

Attachment 1

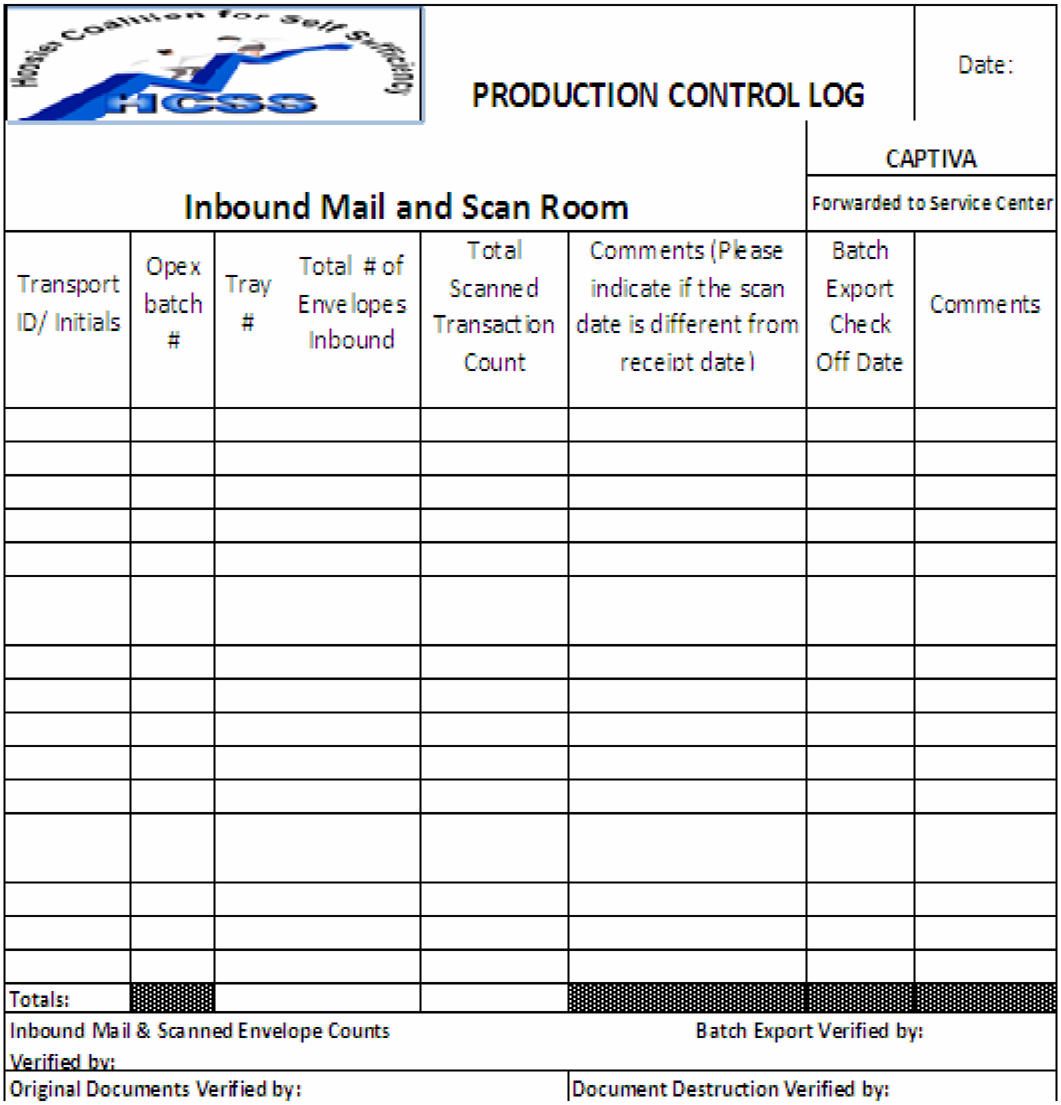
Document Center Organization Chart


Document Center Manager
Human Resources
Mail Room Services
Doc. Extract, Prep, & Scan
OCR, Data Capture, Reject Repair, Claasification & Indexing
Scanning Supervisor
Mail Room Clerks
Scanning Supervisor
Quality Analyst
Scanner Operators
Data Capture Supervisor
Quality Analyst
Data Capture Operators

Attachment 2

Production Control Log (PCL)

The Production control log (PCL) is an excel spreadsheet that is used to monitor the number of transactions processed through the Document Center daily work flow. It provides a mechanism for tracking the transactions through the processes as well as confirming that all transactions received in the Document Center have been processed. Control totals are updated into the spreadsheet from the Mail Room – Inbound, Scan Room, Image processing (Captiva), and Mail Room – Outbound, and Document Retention. Total transactions are tracked and confirmed through each process of the Document Center.



PRODUCTION CONTROL LOG

Date:

Inbound Mail and Scan Room

CAPTIVA

Forwarded to Service Center

Transport ID/ Initials	Opex batch #	Tray #	Total # of Envelopes Inbound	Total Scanned Transaction Count	Comments (Please indicate if the scan date is different from receipt date)	Batch Export Check Off Date	Comments
Totals:	▨				▨	▨	▨

Inbound Mail & Scanned Envelope Counts Verified by:

Batch Export Verified by:

Original Documents Verified by:

Document Destruction Verified by:

Attachment 3

Original Document List

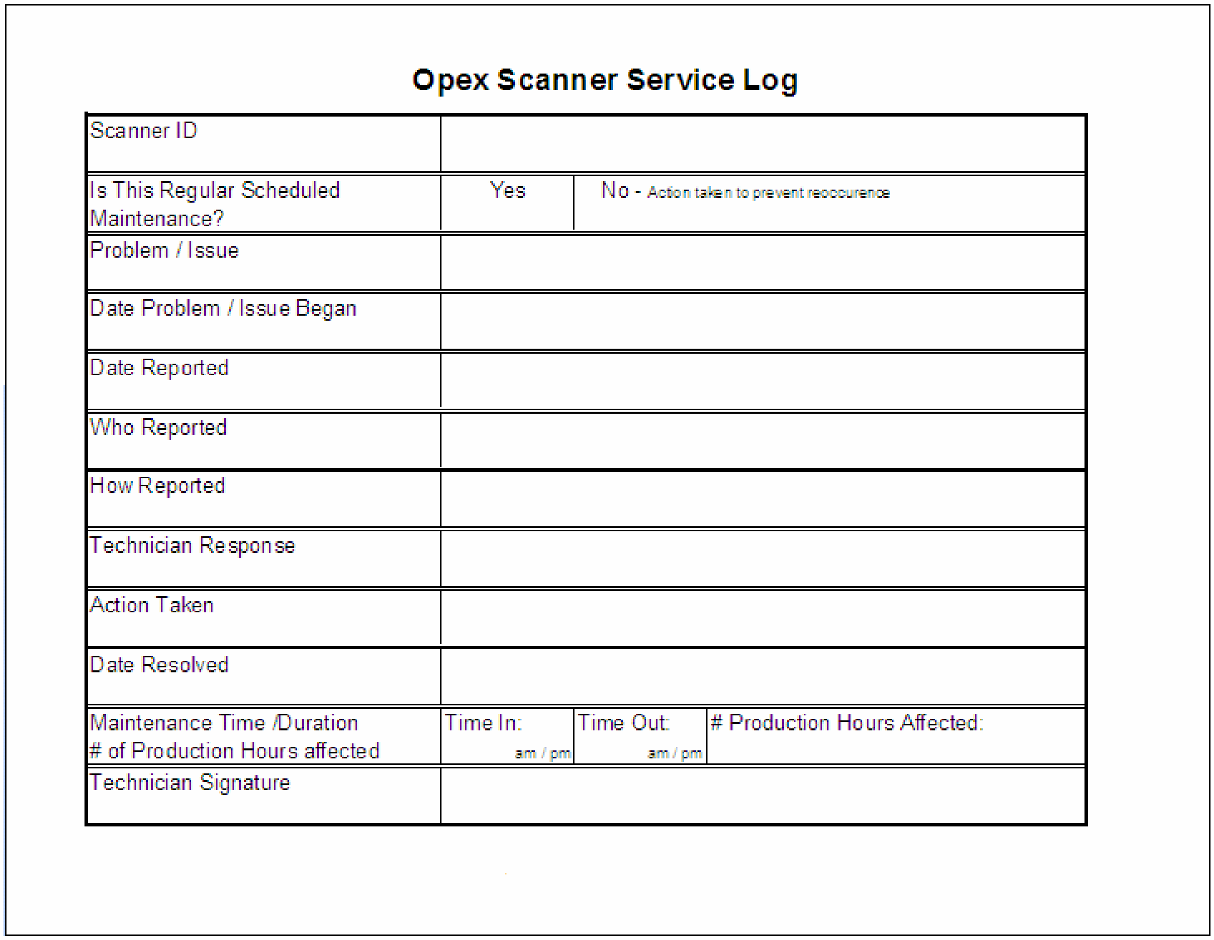
The following table provides a list of Original Documents that must be mailed back to the applicant.

LIST OF ORIGINAL DOCUMENTS TO BE MAILED TO THE APPLICANT			
1	Adoption Record	11	Other Photo ID
2	Baptismal Record	12	Passport
3	Birth Record/Original Documents	13	Power of Attorney Affidavit
4	Certificate	14	Paternity Record
5	Bond	15	Paycheck
6	Check	16	Real Estate Contract
7	Citizenship Record	17	Real Property Deed
8	Death Certificate	18	Social Security Card
9	Hospital Birth Certificate	19	Stock Certificate
10	Immunization Record	20	Student Photo ID
		21	Vehicle Title

Attachment 4

Opex Scanner Service/Problem Log

The Opex Scanner Service Log describes each incident of maintenance performed on each scanner. The service loop reflects the service history and indicates potential maintenance problems.



Opex Scanner Service Log

Scanner ID			
Is This Regular Scheduled Maintenance?	Yes	No - Action taken to prevent reoccurence	
Problem / Issue			
Date Problem / Issue Began			
Date Reported			
Who Reported			
How Reported			
Technician Response			
Action Taken			
Date Resolved			
Maintenance Time /Duration # of Production Hours affected	Time In: am / pm	Time Out: am / pm	# Production Hours Affected:
Technician Signature			

Attachment 5

List of Supporting Documents

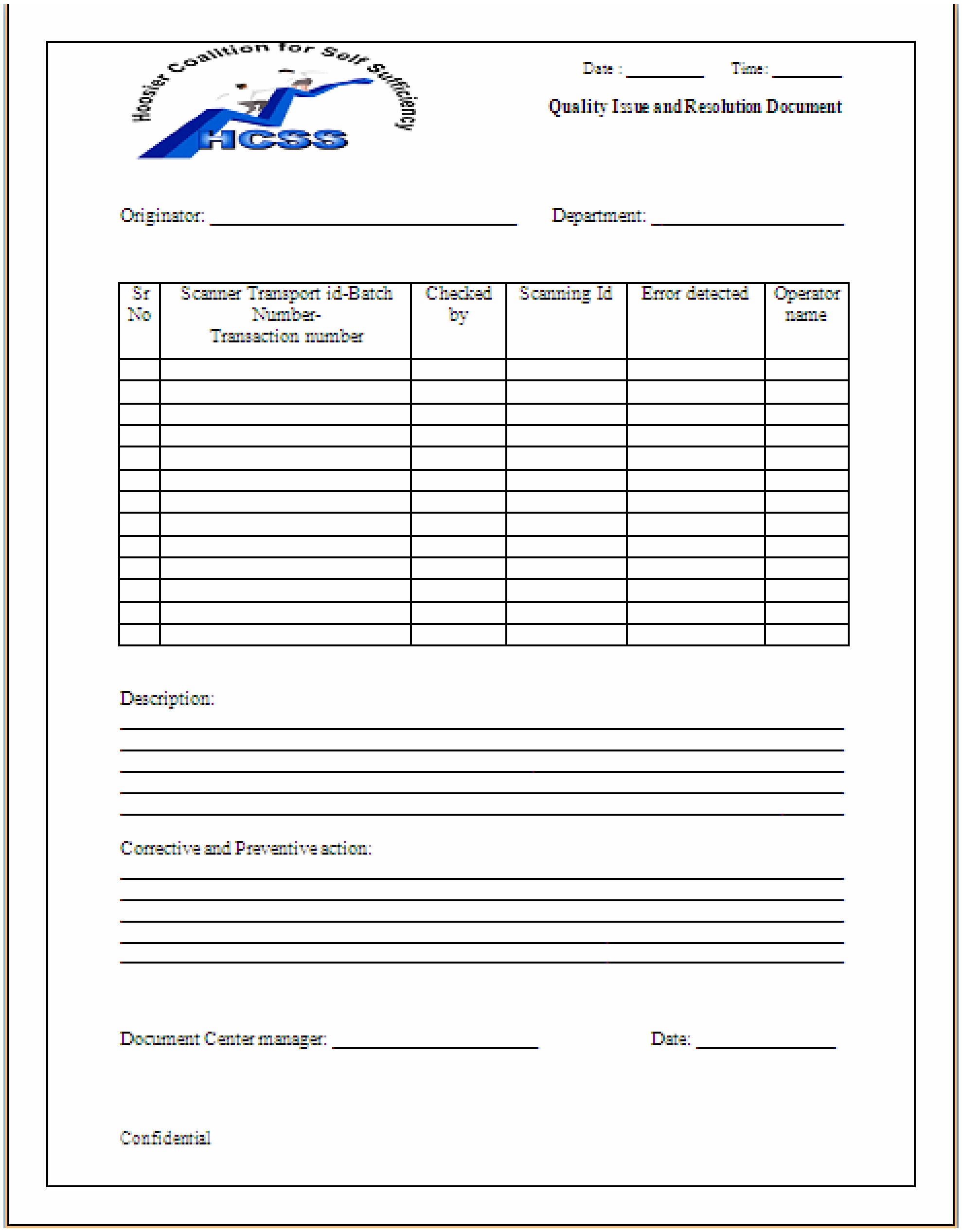
LIST OF SUPPORTING DOCUMENTS			
PERSONAL	Driver's License	RESOURCES	Annuity Contract
	Social Security Card		Bond
	Social Security Letter		Real Estate Contract
	Student Photo ID		Real property Deed
CITIZENSHIP	Baptismal Record		Statement of Vehicle value
	Birth record/Certificate		Trust fund agreement
	Hospital Certificate		Vehicle Registration
	Permanent resident card		Vehicle Title
	Resident Alien Registration	INSURANCE	Health Insurance Card
MONEY RECEIVED	Bank statement		Insurance Statement
	Check		Life Insurance ID Card
	Child support payment\		Life Insurance Policy
	Disability statement		Medicare Card
	Employer Pay Statement	CHILD CARE & SUPPORT	Cancelled check
	Employer termination letter		Child Care Receipt
	Financial aid form		Court Document
	Lender statement		District Clerk record
	Letter from paying parent		Divorce Decree
	Loan agreement		Expenses
	Paycheck		Energy Assistance Payment
	Paystub		Property Tax Statement
	Railroad Retirement Letter		Mortgage payment book
	Promissory Note		Mortgage Statement
	Pension Statement		Rent Receipt
	Self employment record		Utility Bill
	Worker's Compensation Letter		Public Housing Rental Letter
	VA Award Letter		
	SSI Award Letter	MEDICAL	Medical Bill
LEGAL	Court Order		Medical Condition Letter
	Guardianship Order		Medical Receipt
	Power of Attorney Letter		Pregnancy Statement
			Prescription Receipt

The table above reflects some of the Documents that could be submitted for supporting evidence along with the Application for Assistance and are manually classified.

Attachment 6

Quality Issue and Resolution Document

The Quality Issue and Resolution Document is used by Quality Assurance to record production quality problems and/or issues.



Hoosier Coalition for Self Sufficiency
HCSS

Date : ________ Time: ________

Quality Issue and Resolution Document

Originator: ______________________________ Department: ___________________

Sr No	Scanner Transport id-Batch Number- Transaction number	Checked by	Scanning Id	Error detected	Operator name

Description:
____
____
____
____
____

Corrective and Preventive action:
____
____
____
____
____

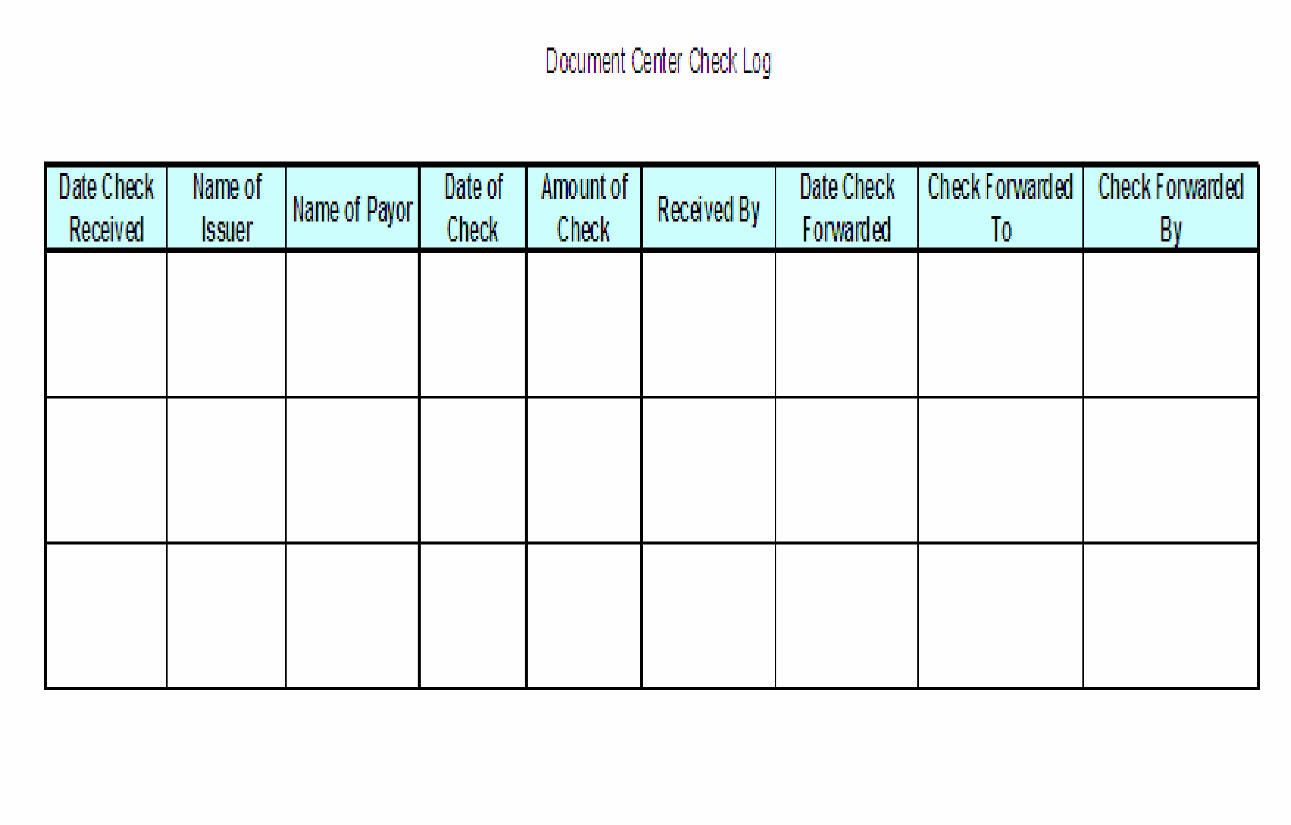
Document Center manager: ____________________ Date: ______________

Confidential

Attachment 7

Document Center Check Log

The excel spreadsheet is utilized to record the details of any checks received at the Document Center.



Document Center Check Log

Date Check Received	Name of Issuer	Name of Payor	Date of Check	Amount of Check	Received By	Date Check Forwarded	Check Forwarded To	Check Forwarded By